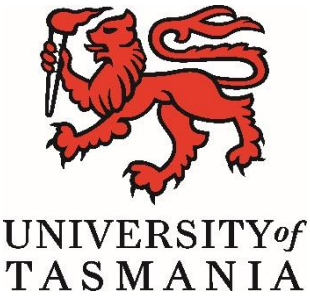

The Incorporation of Corporate Social Performance in Brazilian Ports Management

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Submitted in fulfilment of the requirements for the Doctor of Philosophy

University of Tasmania December 2020

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Contribution of work by co-authors for each paper:

PAPER 1: Located in Chapters 4, 5 and 7

Batalha, E., Chen, S., Pateman, H., Zhang, W. The meaning of corporate social performance in seaports: the managers' perspective. WMU Journal of Maritime Affairs **19,** 183–203 (2020). https://doi.org/10.1007/s13437-020-00201-3

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PAPER 2: Located in Chapters 4, 5, 6 and 7

Batalha, E., Chen, S., Nguyen, O., Pateman, H., Zhang, W. The Corporate Social Performance evaluation in seaports: a Brazilian perspective, Proceedings of the 10th Asian Logistics Round Table (ALRT) 2020 Conference, University of Tasmania, Launceston, Tasmania, vol.1, pp 369-390.

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ACKNOWLEDGEMENTS

Nothing that was achieved would be possible without my family and their support during the PhD journey. Therefore, for my dear wife Karen and my son Joaquim, my biggest thank you for being with me and thank you for the precious time living together during these years. I would like to say thank you to my parents Adriano and Ely, for showing me always that education is one of the most important things that we can have in life. This achievement is part of a process that was initiated 41 years ago, and without your view of the future, I would not be here. Thanks to my brothers Yuri and Igor for the constant support provided through our online conversations during the PhD. Although during these almost 4 years we were physically on different sides of the world, I always felt my family in Brazil together with me in Australia.

It is necessary to acknowledge Professor Adilson Costa and Captain Marc Nuytemans to recommend me to the PhD. Now I can understand some of the 'heads ups' given before my commencement. Thanks, Professor Marcos Pedlowski for being the first person to challenge me to think about the PhD to improve my understanding of society and businesses coexistence. Thank you for your support during different research moments, making me see the challenges as opportunities to improve my way of thinking. To professor Newton Pereira, my honest thank you for the support during the PhD and for coaching me throughout the processes involved in academic life.

To my supervisors Peggy Chen and Hilary Pateman, my thank you for the opportunity to pursue a PhD at UTAS. This opportunity changed my family's life for the better and I am grateful for it. For Peggy, my sincere and honest thank you for the time invested through the research journey. To my other supervisors, Vera Zhang and Oanh Nguyen, I would like to thank you for the support provided through this thesis development.

There is no way to forget the whole PhD community inhabiting Connell Building. Poor little creatures in different journeys but sharing similar experiences. It would not be fair to forget

any of the names that were part of the journey, and therefore, all of you that interacted with me and shared aspects of your experience, my big thank you!

A PhD is not possible without the support of many people that dedicate their lives to keep the university engine running. Therefore, my special thank you to Christine Veltman for taking care of each one of us. Thank you, Ian Bollard, for providing support with the library services and the periodic coffee times to check how I was doing. My special thank you to Dr Monica Cuskelly for teaching me how to write in an academic format. Also, thank you, Dr Andrea Adam, for lecturing me on how to teach at the university level. Your contribution was vital to the current achievement but will also be extremely important for my future career. Dr Casey Mainsbridge, thank you for your advice about academic procedures and the productive time discussing the challenges of fatherhood. To Dr Soonja Yeom and the School of ICT, thank you for allowing me to discover my passion for lecturing. To the whole ServiceDesk team at UTAS, thank you for supporting me always when I needed help with the highest level of professionalism.

Fortunately, life during the PhD was not limited to what happened inside the university. Therefore, thank you to all those that helped me and my family to feel welcomed in Australia. Thank you to the Capsanis, the Greens, Ross Logan, David Brice, the Donattis, the De Souzas, Graziela Ferrari and all those who shared good laughs and heard my constant complains about the PhD difficult moments. You all kept my mental health during this journey, and I appreciate your time invested in me.

I would like to say thank you for all the participants in the study and their time invested in sharing information that could later be transformed into knowledge. I hope that despite all the limitations that I had in terms of research skills, I made your perspective visible for those who read this thesis and the papers published from it.

For the last-minute addition to the acknowledgement list, my big thank you to Patrick Lees for the constructive and positive feedback about using the English language.

Finally, to the Australian and the Tasmanian Governments, my acknowledgement for the financial and social support during this research.

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List of Abbreviations

3BL	Triple Bottom Line
AMC	Australian Maritime College
ANTAQ	Agencia Nacional de Transportes Aquaviários
CCA	Conventional Content Analysis
CFA	Confirmatory Factor Analysis
CM	Community Management Factor
CM2	Compliance Management Factor
CMB	Common Method Bias
CSB	Corporate Social Behaviour Factor
CSP	Corporate Social Performance
CSR1	Corporate Social Responsibility
CSR2	Corporate Social Responsiveness
CV	Cumulative Variance
DCA	Direct Content Analysis
EFA	Exploratory Factor analysis
EM	Environmental Management Factor
GDP	Gross Domestic Product
GRI	Global Reporting Initiative
H&S	Health and Safety
HRM	Human-Rights Management Factor
IFC	International Finance Corporation
ISO	International Organisation for Standardisation
ISPS Code	International Ship and Port Security Code
KMO	Kaiser-Meyer-Olkin
KPI	Key Performance Indicator
MAR	Missing at Random
MCAR	Missing Completely at Random
MNAR	Missing Not at Random
OECD	Organisation for Economic Cooperation and Development
PhD	Doctor of Philosophy
PRQ	Primary Research Question

QUAL	Qualitative
QUAN	Quantitative
RQ	Research Question
SA8000	Social Accountability International
SCA	Summative Content Analysis
SIA	Social Impacts Assessment
SM	Suppliers Management Factor
SPSS	Statistical Package for Social Science Software
SRQ	Secondary Research Question
SSHREC	Social Sciences Human Research Ethics Committee
Tint	Telephone Interview Participant
UTAS	University of Tasmania

Abstract

Corporate Social Performance (CSP) is defined as a business organisation's configuration of social responsibility principles, its social responsiveness processes, and the social outcomes related to that organisation's actions in the social dimension. When evaluating an organisation's CSP, one must examine the three elements together measuring the degree to which principles of social responsibility motivate actions taken by the organisation, the degree the organisations use socially responsive processes and the social outcomes produced to manage the relationship with society. Although sustainability has become an essential consideration in modern business management, there remains an imbalance in the way it is evaluated, with much more attention given over to economic and environmental sustainability, and a lack of clear focus on corporate performance and sustainability in the social dimension.

At the same time, it is widely recognised that business organisations do have social impacts, and this is particularly true for large sectors of the economy such as ports. The extensive infrastructure and operations of ports have significant impacts upon the communities and peoples around them, yet there remains a dearth of research into how CSP in ports is measured and managed. The overall objective of this study is to explore the conceptualisation and incorporation of CSP within the Brazilian port sector through the perspectives of managers working in the industry. With a more detailed approach, the study explores meanings attributed to CSP by port managers, the identification of social roles played by ports and rationales for adopting them, the management of social impacts for stakeholders, and the evaluation processes and potential indicators for accurately measuring the CSP of port organisations.

The study uses a sequential mixed-methods strategy to collect and analyse data from interviews and surveys with top-level managers working in Brazilian ports. In Phase 1 of the study, qualitative data from twenty-eight (28) telephone interviews was analysed using the conventional content analysis technique. The objective of Phase 1 was to identify themes which could then be used to develop a web-survey questionnaire which was deployed in Phase 2 of the study. In Phase 2, quantitative data from seventy-six (76) responses to the web-survey was analysed using descriptive statistics to find out if themes derived from Phase 1 interviews were representative of a larger sample of port managers in Brazil. An Exploratory Factor Analysis (EFA) was also employed to identify underlying factors linked to the measurement of CSP.

Results suggest that the port managers who participated in this study do understand that their organisations are theoretically accountable for actions in the social dimension. However, results also suggest that understandings of CSP could be enhanced and better incorporated into management processes to improve the overall performance and sustainability of port operations. Although exploratory, results from this study suggest that port organisations in Brazil are perhaps prone to consider their CSP only when an issue in the social dimension threatens their operational continuity. It is suggested that sustainability and productivity may benefit from a more proactive approach to CSP, involving an organisation's leadership team as well as the range of different stakeholders and community groups who may be affected. Moreover, results suggest that stakeholders need to be included at all the major phases of CSP implementation if it is to be truly effective, from the assessment of social context to outcomes production and performance evaluation.

Based on the findings of the study, it is suggested that the promotion of a formal systematic evaluation of CSP should be adopted to present the performance of ports in a broader sustainability context. Formal evaluation adoption is suggested in order to build upon the understandings of port managers who already consider a range of CSP indicators within their management strategies – even if they do not always know it. The port managers who participated in this study demonstrated that they already adopt CSP evaluation in terms of managing the natural environment, suppliers, communities, human rights, regulatory compliance, and corporate social behaviour. Notwithstanding the considerable number of indicators perceived as incorporated, participants still expressed a need for better understanding of their organisation's role in the social context, and a need to improve their own knowledge about CSP management.

At the conceptual level, this study contributes to the literature on CSP management in the context of ports and adds knowledge about how the sector understands its social roles and responsibilities from a managerial perspective. Results also add to literature concerning the management of stakeholders and social impacts, focusing on the processes perceived as adequate for their identification and prioritisation in the resource-limited context of Brazilian port organisations. There is also theoretical value added by the study, which proposes different social performance indicators that can use qualitative and quantitative data to evaluate CSP in ports. In addition, the theoretical findings of this study may be used to identify areas of improvement necessary for the achievement of sustainability objectives. The knowledge constructed through this study is also valuable for future research investigating the incorporation of CSP in ports, in other social contexts, and in other sectors of the modern economy.

The research outcomes from this study may provide managers with an insight into what they and their peers understand CSP to be, and an opportunity to compare their collective view with the theory presented in the literature. Results may also help managers expand their conceptualisations of CSP management, offering a more comprehensive view oriented towards stakeholders' expectations in their relationships with corporations. Examining both benefits and problems associated with CSP adoption, this study offers managers and scholars an opportunity to think more strategically about what their organisations should aim to achieve in the realm of organisational sustainability. Furthermore, this study suggests a systematic evaluation CSP with key indicators that may be helpful for port organisations to improve current management practices in the social dimension.

Chapter 1: Introduction

1.1 Background

The concept of business sustainable development, created in 1987 by the Brundtland's commission, is based on meeting the needs of the present without compromising the needs of future generations (Robert et al., 2005). Business sustainable development is in line with the so-called triple bottom line approach (TBL or 3BL) in which organisations try to balance the economic, social and environmental dimensions of their business practices (Elkington, 1997). From a performance evaluation perspective, the 3BL approach encourages business managers to give all three dimensions the same level of importance and to systematically assess them as a whole (Fobbe et al., 2018, Schaltegger and Wagner, 2017, Oh et al., 2018).

However, the theory of the 3BL approach does not always accord with the realities of business management and organisational culture. Historically, the economic dimension of business has taken priority over the other dimensions, leading managers often to accept that if they are doing well in the economic dimension, then they are performing well overall (Lim et al., 2019, Oh et al., 2018). This perspective may be traced to capitalist theories which assert that businesses are created with the sole objective of generating profit for shareholders (Friedman 1962). The environmental dimensions of business practice, although often subsumed by this economic imperative, have gradually gained importance and become a standard part of organisational performance assessments (Braga and Veloso-Gomes, 2020, Pereira et al., 2019, Oh et al., 2018).

In contrast, the social dimension of business performance is only slowly becoming a meaningful part of sustainability reporting (Ibañez-Forés et al., 2020, Lim et al., 2019) and often given only minimum space in performance assessment reports (Mattingly, 2015, Geurs et al., 2009, Schreck and Raithel, 2018, Geerts and Dooms, 2020). Consequently, sometimes even the simple task of defining performance in the social dimension remains a challenge for industry practitioners (Batalha et al., 2020).

Although there has been a significant and increasing trend towards the reporting of business sustainability practices and performances (Tseng et al., 2020), if such reporting does not include systematic evaluations of social performance, then one might ask how any organisation can claim to be doing well from a sustainability perspective?

There have been calls for more balance in 3BL performance management, with more focus on the systematic development of social dimension management (Hutchins et al., 2019, Ha et al., 2017), and for a pro-active approach that takes into account changing social environments and increasing levels of stakeholder awareness. In this context reactive approach is deemed risky and discouraged as best practices for organisations (Markovich and Lucas, 2011, Santos et al., 2016, Vanelslander, 2016).

The analysis of the literature concerning ports reveals attempts to frame the study of social performance management in two main areas. The first is using the analysis of Corporate Social Responsibilities (CSR1) as a proxy for social performance (Vanelslander, 2016, Acciaro, 2015, Lim et al., 2019). The second is the analysis

of sustainability topics that indirectly investigate how social performance fits into businesses priorities (Oh et al., 2018, Schrobback and Meath, 2020). However, more research into social performance is required exploring the main barriers or challenges which may prevent the development of more 'balanced' and therefore more accurate assessments of business sustainability across economic, environmental, and social dimensions.

The literature suggests a 'two-fold' barrier to the development of more balanced 3BL sustainability assessments: the complexity and difficulty of developing valid and useful criteria for assessing the social performance of organisations; and, then the challenges and complexities of integrating assessments that are developed into the daily routines of business organisations (Ibañez-Forés et al., 2020, Koster et al., 2019, Geurs et al., 2009, Kramer and Porter, 2006). According to Wood (2010), one of the first steps towards overcoming such challenges and complexities, enabling more balanced evaluation and reporting, is to examine social performance within specific industry sectors (Wood, 2010).

A 'sector-specific' approach according to Wood (2010), should include 1) an examination of how social performance is comprehended as a concept; 2) the definition of social roles and responsibilities of the organisation according to its characteristics; 3) the assessment of the socio-environmental contexts of operations within that sector; and 4) the production of social outcomes that mitigate the social impacts of business operations affecting the relationships between these organisations and different stakeholders (Wood, 2010). In this way, processes and metrics for performance management could be developed and assessed based on a much clearer understanding of the ways different organisations think about social

performance and what they need to do to succeed in the social dimension performance (Wood, 2010).

1.1.1 Corporate Social Performance (CSP) Concepts

Wood (1991) argued that any valid and useful evaluation of Corporate Social Performance (CSP) must examine the links between corporate responsibility principles, corporate responsiveness processes, and the outcomes of corporate behaviour. According to the scholar

> To assess a company's social performance, the researcher would examine the degree to which principles of social responsibility motivate actions taken on behalf of the company, the degree to which the firm makes use of socially responsive processes, the existence and nature of policies and programs designed to manage the firm's societal relationships, and the social impacts (i.e., observable outcomes) of the firm's actions, programs (Wood 1991, p. 693)

While alternative approaches to the evaluation of CSP have been developed by scholars such as Carrol (1979) and been subsequently revised by scholars such as Siltaoja (2014), Swanson (1999) and Mitnick (2000), this study considers Wood (1991) a more inclusive and comprehensive work, and therefore most appropriate as a primary reference. The other attempts to define CSP referred previously examined CSP primarily from the organisations' perspective (Carrol, 1979) or simply provided to Wood's (1991) different meanings for aspects that were already developed in the CSP seminal definition such as adding the knowledge creation as an output of CSP (Siltaoja, 2014), focus on ethics as a corporate behaviour (Swanson, 1999) or the challenge to define performance metrics to assess CSP (Mitnick, 2000).

In a review of how researchers were employing CSP concepts to evaluate performance in the social dimension, Wood (2010) emphasised the need to examine the social aspects of organisational\business relationships with the societies they inhabit. This includes the analysis of social impacts created by a business (Hassini, Surti & Searcy 2012; Philip, Matthew Phillip & Stefan 2015), the analysis of interactions between organisations and stakeholder groups (Cheon, 2017, Erdiaw-Kwasie et al., 2017, Fu et al., 2018), and the analysis of evaluation processes and criteria, including quantitative and qualitative metrics (Brent and Labuschagne, 2006, ISO, 2010, IFC, 2012, Mitnick, 2000).

Figure 1-1 represents graphically the different aspects of business relationships and performance outlined by Wood (2010). A feedback loop exists in the process because social contexts tend to change over time, which necessitates an ongoing adjustment to the definitions given to goals, processes and outcomes in the social dimension (Gil-Lafuente & Paula 2013).

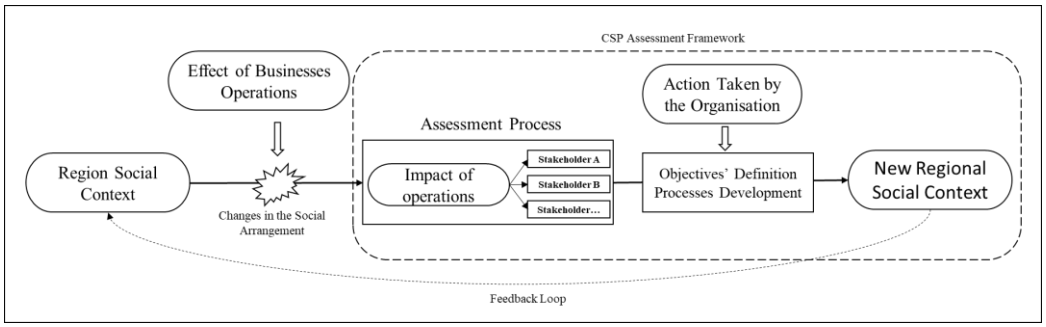

Figure 1-1 The social aspects of corporate relationship in the context of CSP management

1.1.2 Reasons for Considering CSP in Ports

Ports are assets capable of re-shaping the social and territorial configuration of a region (Dinwoodie et al., 2012). In this context, ports refer to infrastructure assets that allow seagoing cargo transport, that can include added-value activities beyond

the cargoes handling (e.g., industrial clusters) and are represented in terms of accountability by various organisations either public or private (e.g., port authorities, terminal operators) (Dinwoodie et al., 2012, Notteboom & Winkelmans, 2003). They can also extend influence into regions far beyond their geographic location, including for example ports in rivers with direct navigation into the sea, and can have significant social impacts for a range of stakeholders who may have very different perspectives (Geerts and Dooms, 2020, Lam and Yap, 2019) and who may live far away from the port itself (Notteboom & Rodrigue, 2005). This complex business reality demands accurate\valid and effective assessment\evaluation of business practices and performance, particularly when it comes to negative social impacts which might significantly affect the development of a business strategy (Kramer and Porter, 2006).

However, studies into the social dimensions of port management remain under-represented in the literature, which is dominated by examinations of economic and environmental performance (Kotowska et al., 2020, Castellano et al., 2020, Braga and Veloso-Gomes, 2020). Some scholars have tried to analyse the effects of business on relationships with stakeholders (Lam and Yap, 2019, Van den Berghe and Daamen, 2020, Schubert, 2020) but the dearth of studies focused on CSP management in ports represents a knowledge gap that needs to be filled (Lim et al., 2019, Oh et al., 2018). Scholars have also invested time and efforts trying to evaluate ports' performance using a more holistic perspective towards the sustainability approach (Oh et al., 2018, Hossain et al., 2019, Ha et al., 2017, Siltaoja, 2014); or debating the actual effects of adopting corporate social responsibilities (CSR1) within the sector (Notteboom et al., 2020, Vanelslander,

2016, Acciaro, 2015) but none have done so far this analysis looking at these aspects together from a performance evaluation context. Therefore, the suggestion provided by Wood (2010) for a complete understanding of CSP in port management is adopted and tries to unveil the meaning of CSP for the sector considering a different aspect of the theory.

1.2 Research Questions and Objectives

Given the limited knowledge of CSP in the port sector, this study uses the exploratory research approach suggested by Wood (2010) to examine four (4) fundamental aspects of CSP management in the port sector: 1) the meaning of CSP within the port sector context; 2) the social roles linked to organisations in the sector; 3) the processes adopted to manage the social dimension and outcomes produced by the organisation; and, 4) how CSP is evaluated within the context of ports.

To achieve the exploratory objectives, the following primary research question (PRQ) was developed as:

PRQ: How is CSP incorporated in port management?

To provide further insights and clarity, four secondary research questions (SRQ) were developed as:

SRQ 1: How do port managers comprehend CSP?

SRQ 2: What is the social role of ports and the rationale for adopting it?

SRQ 3: How do port managers address social impacts on stakeholders?

SRQ 4: How is the CSP of ports evaluated?

In answering the above research questions, this study intends to achieve the following objectives:

- Explore the meaning of CSP in port management,
- Identify the social roles of ports and the rational moving managers to adopt them,
- Explain how port managers understand the management of social impacts on stakeholders, including the investigation of processes development and the criteria used to prioritise actions in the context of CSP management; and,
- Explain the CSP evaluation process in ports, including identification of processes currently used in practice and the indicators perceived necessary in performance measurement.

1.3 Research Scope

This study investigates the incorporation of CSP into port management using interviews and a web survey, with data collected from managers in Brazilian ports. The choice of Brazil as the research context was made for three main reasons, which are explained in more detail below: 1) the significance of ports to Brazil; 2) the Brazilian social context; and, 3) the importance of CSP research for the Brazilian port sector.

1.3.1 Significance of Ports to Brazil

Brazil has more than 205 ports organisations authorised by the government to operate in the country. Their location spread across the country entire 8,500 km of navigable coast, with presence in all its coastal regions (see Figure 1-2). This abundance and coverage of ports provide a range of significant opportunities for

both international and domestic trade (Brazil, 2014a). Moreover, given the power of ports to influence the social development of regions and countries (Dinwoodie et al., 2012), the Brazilian context offers an excellent opportunity to explore the incorporation of CSP concepts into port management.

An important shift in the regulatory market occurred over the past years and influenced the selection of Brazilian port as the scope of the research. A reform in the rules governing ports promoted significant changes concerning the way port organisations are established, which can influence the way these businesses understand their participation in the country's social development. On June 5th 2013, the Brazilian Federal Government implemented the Law 12.815, establishing a new regulatory framework for ports, reformulating the role of public port authorities and giving more power to private players to participate in the market (Brazil, 2014b). The main objective of this law was to create mechanisms to increase the confidence of private investors about long-term contracts and consequently foster the attractiveness of investments in Brazilian ports' infrastructure. On the other. According to recent data published in 2020, private operators had already 60% of the participants share in the sector (Falleiros, 2020) and the trend is to have the increase of this share with more investments attraction and privatisation in the sector.

Another important change promoted by the reform related to the criterion to decide the winners of concessions. In the past, the winner was defined based on the entity that paid the higher value, while in the new regulation, those proposing more efficiency (i.e., more cargo handled on a lower cost basis) win (Brazil, 2014b). However, the law does not specify any aspects of social performance in the social

dimension as part of the efficiency criteria, promoting more attention again only the economic development of ports. Therefore, the move from a public to a private approach and the focus on economic efficiency do not clarify what sort of social goals would be expected from the businesses participating in the Brazilian port sector. Given that the social dimension seems to be considered a discretionary aspect in light of the reform, it is relevant to explore how the organisations operating in this new business environment consider CSP in their management practices (Galvao and Robles, 2021).

Considering that private organisations in ports tend to have more focus on shareholders' expectations (i.e., profit or return on investments) and less appeal to the use of the public structure for social benefit, it becomes necessary to understand how the social dimension is thought in this particular business context (for examples of this approach refer to Verhoeven, 2010, Van Niekerk, 2005). Moreover, considering the characteristics of Brazil as part of the developing countries group, the shift to the private model leaves open the question about how the port organisations will influence the way they contribute to the development of the social context and, more importantly, how they monitor what they produce in the social dimension (Ibañez-Forés et al., 2020, Zyglidopoulos et al., 2016, Visser et al., 2008).

Figure 1-2 Brazil's coast and main ports

Source: Brazilian Government (2018)

Furthermore, ports are vital to insert Brazil into the international market, especially when the subject is exports of commodities. In 2019, 328 million tons of different cargo were handled by ports with 231 million tons related only to exports (Brazil, 2020). Therefore, it is undeniable that the Brazilian ports are critical to the country's economic growth through facilitating international trade or the promotion of overall industrial and economic activities (e.g., industrial clusters, offshore support, energy generation). Assuming that the improvement in trade can also reflect on the increase of taxes generated and that these taxes return to society as benefits in different areas, the importance of ports to Brazil is relevant in the context of the investigation of CSP in the country.

1.3.2 The Brazilian Social Context

According to the OECD, despite recent recession episodes, Brazil is still one of the world's leading economies in the world (OECD, 2018). However, the social inequality rate remains high, and a better focus on social expenditures towards the poor would help to create a more sustainable environment for business. Hradil (cited in Hoffman 2008, p. 29) defined social inequality as existing 'when people frequently receive more of a society's 'valuable goods' than others owing to their position in the social network of relationships', which is the existing scenario in Brazil. Moreover, other scholars such as Bapuji (2015) argued that when social inequality exists, it affects organisations through negative effects on individual employees and their workplace interactions, with negative reflects on the overall corporate results. Therefore, the improvement of social conditions in Brazil could help, for example, the organisations in the country to be more competitive in the long term (Podobnik et al., 2012), which can be translated into sustainable growth for businesses and society.

Besides, if not correctly addressed, these social characteristics have the potential to retard or cancel investments due to the perception of a deteriorated business environment (Klein et al., 2001, Barro, 1999). Therefore, it is essential to look at CSP in the Brazilian context to contribute to the preparation of port organisations to operate in an environment where the social dimension can become a challenge for the overall success of the organisation (Jenkins, 2005).

1.3.3 The Importance of CSP Research for the Brazilian Port Sector

This study helps managers in ports to thrive in turbulent business environments and supports them in improving the way the incorporation of the performance in the social dimension is done. The outcomes of the research expect to provide more details about which aspects are currently perceived as part of CSP management and based on those where more efforts are necessary, recommend areas of development. The scope of the study adopts the view that many other actions are necessary to ensure a sustainable business environment and the solution of the social issues in Brazil will not occur based on actions taken only by ports. However, once a view of CSP management in the sector is produced, it will help to prepare organisations to overcome the challenges presented by the social context and to improve their performance from a sustainability perspective. In practical terms, it could help, for example, fostering the competitiveness of the sector (Lee and Gopinathan, 2018) or providing to a higher level of specialisation (Clark, 2008) which can be beneficial both, businesses and society, in the long term plan.

1.4 Research Methodology

To address the research questions listed in Section 1.2, this study adopted a mixed-methods approach, with qualitative and quantitative methods employed in sequence. Data was collected from managers working for Brazilian ports, who were considered key informants able to provide information about what is considered necessary in their organisations concerning CSP management (Kim and Daniel, 2019, Homburg et al., 2012). ,

In the first phase of the study, in-depth telephone interviews were conducted with twenty-eight (28) managers. Data collected in this phase was used to identify topics\themes relevant to the research questions. Interview data were analysed using a content analysis technique, with responses gathered from interviewees represented by themes and a focus on revealing new insights into CSP management in ports.

The themes produced during the first phase of the study served as the basis for developing a web-survey instrument which was then used in the second phase of data collection. Five-point Likert scale questions were used to collect quantitative data about different aspects of CSP incorporation into port management. The objective of the second phase was to add depth to the findings obtained in the first phase. In this phase, a census of 205 managers was conducted, and seventy-six (76) responses were received. The web survey elicited responses from participants about their understanding of CSP as well as about themes representing the theoretical aspects of CSP (i.e., the social role, social impacts and stakeholder management). The data was collected and analysed using descriptive statistics (i.e., mean scores) and an Exploratory Factor Analysis (EFA) was employed to investigate the underlying factors of the incorporation of CSP indicators.

Finally, after a distinct analysis of results, both qualitative and quantitative outcomes were analysed together through a triangulation procedure to answer the research questions (Saunders et al., 2009).

1.5 Research Framework

Figure 1-3 presents a summary of connections between this study's research questions, the methods employed for data collection, and the primary outcomes revealed through data analysis. The boxes representing the PRQ and the SRQs show the expected answers for each of the questions, representing what is expected to know once the research question is answered. In Figure 1-3, each of the SRQs is connected to the methodological approach used to collect data, and this information is also then connected to its specific focus of analysis. Further details about the different aspects represented in the research framework designed for this study are discussed in chapter 4.

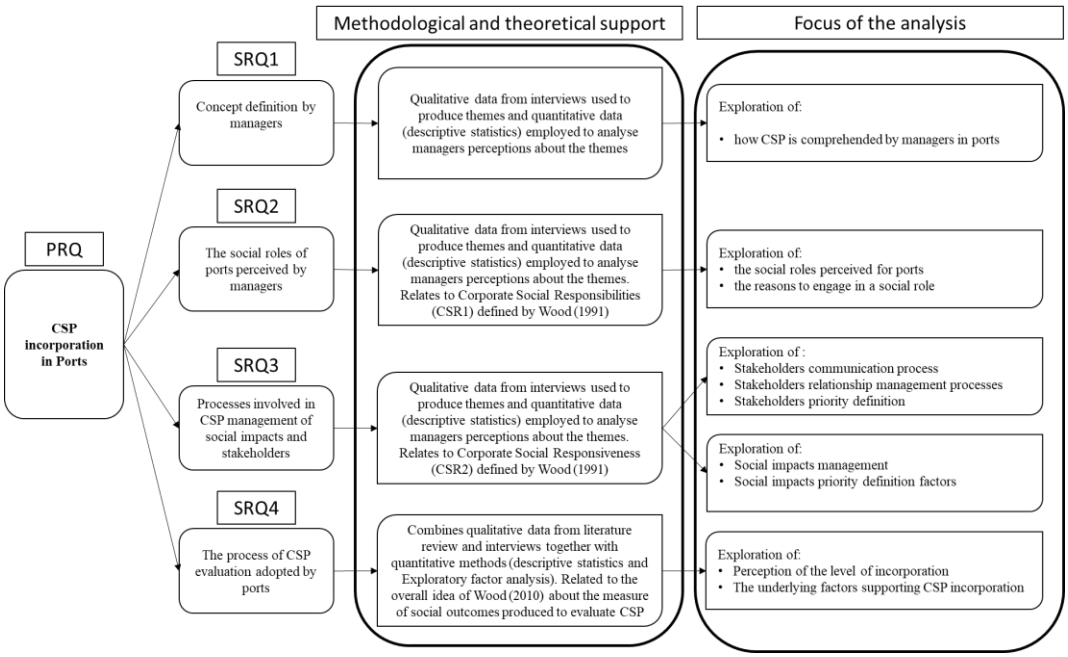

Figure 1-3 The research framework of the study

1.6 Thesis Outline

This thesis consists of eight (8) chapters. Chapter 1 overviews and introduces the background and critical aspects of the study. Chapter 2 reviews the literature around

CSP, with a focus on the discussion of fundamental aspects of CSP theory, including conceptual development, discussion about businesses' social roles, management of social impacts and stakeholders by different sectors, and the available information on CSP indicators supporting an evaluation framework. Chapter 3 reviews the literature, with a focus on what has been accomplished so far in ports literature in respect to CSP adoption, including the theoretical aspects discussed in Chapter 2. Chapter 3 also identifies the research gap and presents the research framework for this study. Chapter 4 focuses on the research methodology, including discussion of research philosophy, research design and methodology used to collect and analyse data. Chapter 5 analyses the qualitative data collected in the first phase of the study and explains how this data was used to develop the survey instrument for data collection in the second phase. Chapter 6 presents the analysis results of the quantitative data collected in phase two that employed the web survey for data collection. Chapter 7 integrates and discusses the results from both phases of data collection concerning the research questions. Chapter 8 outlines the study's major conclusions, explores its limitations and makes recommendations for future research.

Chapter 2: Literature Review on CSP

2.1 Introduction

To understand CSP, one must define 'performance' in the context of business management.

According to the Oxford English Dictionary (Oxford University Press, 2020), performance is:

> The quality of execution of such an action, operation, or process; the competence or effectiveness of a person or a thing in performing an action; *spec*. the capabilities, productivity, or success of a machine, product, or person when measured against a standard.

In conjunction with this definition of 'performance', one also requires knowledge of what is being measured, against which standard, how it is measured, and what indicators are used for reference. From a managerial perspective, good business performers engage in 'a continuous process of identifying, measuring, and developing the performance of individuals (processes) and teams and aligning performance with the strategic goals of the organisation' (Aguinis, 2009, p. 2).

Performance management in organisations has been examined from a range of different perspectives, including, for example, the strategic value of performance to organisations (Aguinis, Joo & Gottfredson, 2011; Henri 2004; Venkatraman & Ramanujam, 1986), and the various dimensions of performance (e.g., economic, operational, environmental performance) (Venkatraman and Ramanujam, 1986, Tongzon, 1995, Orlitzky, 2001, Henri, 2004, Pantouvakis and Dimas, 2010, Aguinis et al., 2011).

A multidisciplinary approach to sustainability performance (which includes the analysis of economic, environmental and social elements) has been used by governments and organisations to support policies aiming to ensure adequate resources are available for future generations (World Commission on Environment Development, 1987). Although the literature treats the sustainable performance approach and all its dimensions as critical aspects for organisational success (Purvis et al., 2019), historically the social dimension has been given notably less attention than the other dimensions (Torugsa et al., 2012, Slootweg et al., 2001, Lim et al., 2019).

However, higher levels of awareness in society about the potential effects of organisations' actions, and concurrent expectations of moving beyond purely economic definitions of success, have forced managers to give more attention to the social dimensions of their business practices, albeit gradually (Sampson et al., 2007, Taylor et al., 2004, Loxton et al., 2013). Claims of sustainability must still be analysed carefully, therefore, to ensure they include economic, environmental and social dimensions of sustainable performance. While some industries have already incorporated these three dimensions into their business models in order to address problems related to their business activities (e.g., land use and environmental damage by the mining sector), other industries such as ports still require more work to include assessments of the social dimension (Roos and Kliemann Neto, 2017, Lim et al., 2019, Duru et al., 2020, Dutra et al., 2015).

The comparative lack of attention given by organisations to the social dimension has been attributed to both a simple lack of interest about the subject (Cai et al., 2016, Frederick, 1986, Costa and Pesci, 2016, Campbell, 2007, Mitnick, 2000,

Wood, 2010) as well as to the challenges of identifying what actually should be assessed from the social dimension, and how it should be evaluated (Dooms et al., 2019a, Ha et al., 2017). One of those arguing that more attention must be given to exploring the fundamental aspects of CSP is Wood (2010), who played an essential role in the theoretical construction of the CSP concept. According to Wood (1991, 2010), there are three (3) inter-connected aspects necessary to building useful and valid understandings of CSP: 1) an examination of how organisations comprehend CSP in a specific business context, and how this comprehension links with processes and outcomes developed in the social dimension; 2) identification of the social roles and responsibilities of and within the organisation (to ensure that the objectives of CSP are clear to the organisation); 3) development of systemic processes for assessing the social context of their region and the production of positive social outcomes (Figure 2-1).

This literature review uses the aspects mentioned by Wood (1991, 2010) to discuss the three dimensions included in Wood's (1991) model (i.e., Corporate Social Responsibilities, Corporate Social Responsiveness Processes, and Outcomes of Corporate behaviour); the investigation about the social roles of businesses, the investigation of processes related to social impacts management and the management of the relationship with stakeholders; and what is available in terms of evaluation processes in the literature.

This chapter explores the development of CSP adoption from its beginning thoughts provided by early business' theorists to the current publications related to the topic nowadays. This literature review chapter is complemented by another literature

review chapter, which examines aspects related to the development of CSP specifically in the port sector (Lim et al., 2019).

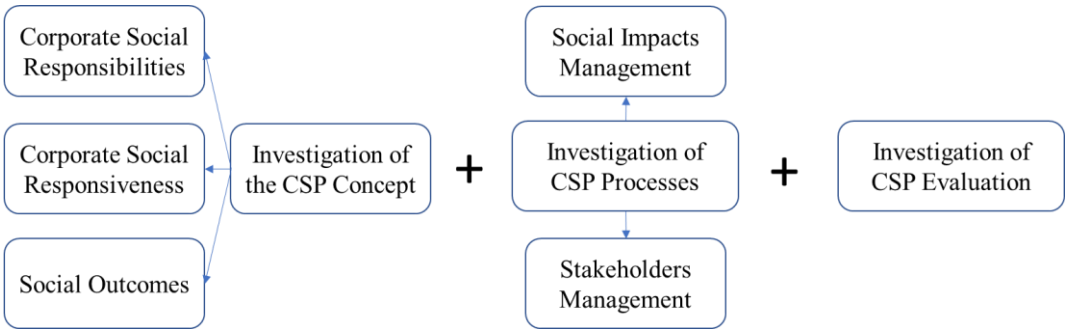

Figure 2-1 Literature review framework

Special attention is given in this study to stakeholders and the social impacts of ports management because both are aspects of the social dimension that demand attention (Costa and Pesci, 2016, Papania et al., 2008). Stakeholders are defined here as any party affected by an organisation's actions; and social impacts upon those stakeholders must be addressed by organisations to ensure the efficiency and effectiveness of the organisations' CSP (Esteves et al., 2012, Vanclay, 2002). The definition is very similar to the seminal definition provided by Freeman (1984), who defined stakeholders as "any group or individual who can affect or is affected by the achievement of the organization's objectives" (Freeman, 1984, p. 46).

This chapter first investigates the development of CSP as a concept in the literature. Then lays out an approach to Corporate Social Responsibilities (CSR1), the reasons for businesses to adopt them, and explains how objectives can be defined in CSP management. This is followed by a discussion of how processes may be developed by organisations to assess their business environment, including the identification of relevant stakeholders and social impacts management. The chapter then briefly examines how the production of social outcomes is conceptualised in the literature.

This is followed by an investigation of drivers and benefits in the adoption of CSP. Finally, the chapter investigates how CSP can be evaluated by organisations, the challenges linked to its adoption, and what indicators and processes are currently suggested to represent performance in the social dimension.

2.2 CSP Definition and Concepts

The investigation of the CSP concept is guided by definition provided by Wood (1991, p.693); that is, CSP is ‘a business organisation's configuration of principles of social responsibility, processes of social responsiveness, and policies, programs, and observable outcomes as they relate to the firm's societal relationships’. Although other scholars have contributed to the development of CSP (Siltaoja, 2014), Wood’s (1991) definition remains the principal reference for this study because it provides a framework for describing concepts fundamental to the management of performance in the social dimension.

A vital idea embedded in Wood (1991b)’s definition of CSP is the separation between the three elements involving in the social dimension of performance management: principles, processes and outcomes. This separation highlights individual characteristics of each element, but also facilitate their analysis interconnected with each other and within different business contexts.

Social responsibilities in Wood’s (1991) theory has three levels of analysis: institutional, organisational, and individual. However, these aspects can be understood in different ways when analysed from different businesses contexts (e.g., the mining and ports’ industries perspectives). Differences within industries manifest in several aspects. In a local and organisational level, while the mining

industry might be more concerned about the impact of land use for small farmers, the port industry might be focused on how the use of waterways will impact fishers. Moreover, in terms of institutional perspective, it is understood that the differentiation exists between the nature of industry sectors. For example, while the mining industry is concerned with providing raw materials, the port industry is focused, for example, on the logistics of goods or the development of industrial clusters. Therefore, about their social responsibilities, their concerns can differ based on the way they understand how their activities impact the environment around them. Consequently, the management processes that these industries develop in response to the social impacts for stakeholders and the environment will be different. This will reflect on the individual level decisions that members of the industries will adopt about CSR1.

Wood's (1991) definition in addition to defining CSR1 as the starting point for CSP management also makes the implicit connection between responding to demands from stakeholders based on social impacts generated and businesses' production of social outcomes, which adapt to their business reality according to their social environment. The assessment and evaluation of social performance must necessarily adopt the three elements of Wood (1991) in the discussion about CSP. This makes Wood's (1991) conceptual definition valuable because it allows the use of a single theory concept to differentiate between each element of CSP according to the context of the business. Besides, Wood's (1991) conceptual approach was chosen for this study based on its adoption by different scholars who consider Wood (1991) their primary reference in the discussion of CSP (for examples, please refer

to Symeou et al. (2018), Zyglidopoulos et al. (2016), Rawhouser et al. (2017) and Jones et al. (2014)).

While in this Chapter the study compares the use of CSP elements adopting the general business approach as a reference, this is followed in Chapter 3 by a specific analysis using the perspective of ports. Nevertheless, how the development of the CSP concept has evolved over time is discussed next.

CSP conceptual construction has its origins in discussions about the need for organisations to adopt a sense of responsibility to society (Bowen, 1953, McGuire, 1969, Reuschling, 1968, Boulding, 1956), which was a counter to the prevailing argument that organisations' sole purpose is to generate profit for shareholders (Friedman, 1962, Davis, 1973). Over time, however, the view that organisations have an important social role to play prevailed (de Bakker et al., 2020). As a consequence, instead of discussing 'if' businesses should engage in social participation, there has been a shift to 'how' they should be prepared to embrace social responsibility as part of their activities (Kenwright, 1972, McGuire, 1977).

Those social responsibilities of businesses included, for example, the management of stakeholders' expectations; the focus on what was relevant in the social dimension; the development of follow up procedures for tracking the social performance of their business; the management commitment through the actions developed; and, the alignment of the whole corporation with objectives and targets specific to the dimension of business performance (Kenwright, 1972). These examples of corporate social responsibilities were essential to the comprehension of CSP development because, while they may now be considered core aspects of

business management, when CSP was first being conceptualised fifty (50) year ago, these concepts were innovative as they sought to re-define the role of businesses in capitalism.

As well as a growing acceptance of the social responsibilities inherent to businesses, another critical phase of CSP development was an acceptance of organisations' need to take actions and respond to society when necessary. Such ideas were proposed by scholars such as Sturdivant and Ginter (1977), Post and Mellis (1978) and Arlow and Gannon (1982) who highlighted the need to move from corporate social responsibility as a concept to corporate social responsiveness as a process. Their main focus was to attach actions to the abstract idea of responsibility.

A landmark of this transition was the CSP definition proposed by Carroll (1979). Carroll (1979) was the first scholar identified by this study to propose a three-dimensional conceptual model that included the definition of organisations' social responsibilities, responsiveness behaviours, and discretionary social issues from a company's perspective (Figure 2-2). In Carroll's (1979) view, organisations should re-think their managerial practices concerning their social responsibilities (e.g., Ethical and Legal responsibilities), adopt a social responsiveness philosophy (e.g., proact, accommodate, defend, react), and address issues related to their activities according to their discretion. Although important, Carroll's (1979) model was criticised because it presented CSP as something necessary to avoid social lynching rather than something to promote the construction of engaged leadership in the social dimension (Wartick and Cochran, 1985). Also, Carroll's (1979) model lagged in the practical application of CSP as a systematic management tool, leaving to the discretion of the organisation the identification of what is essential.

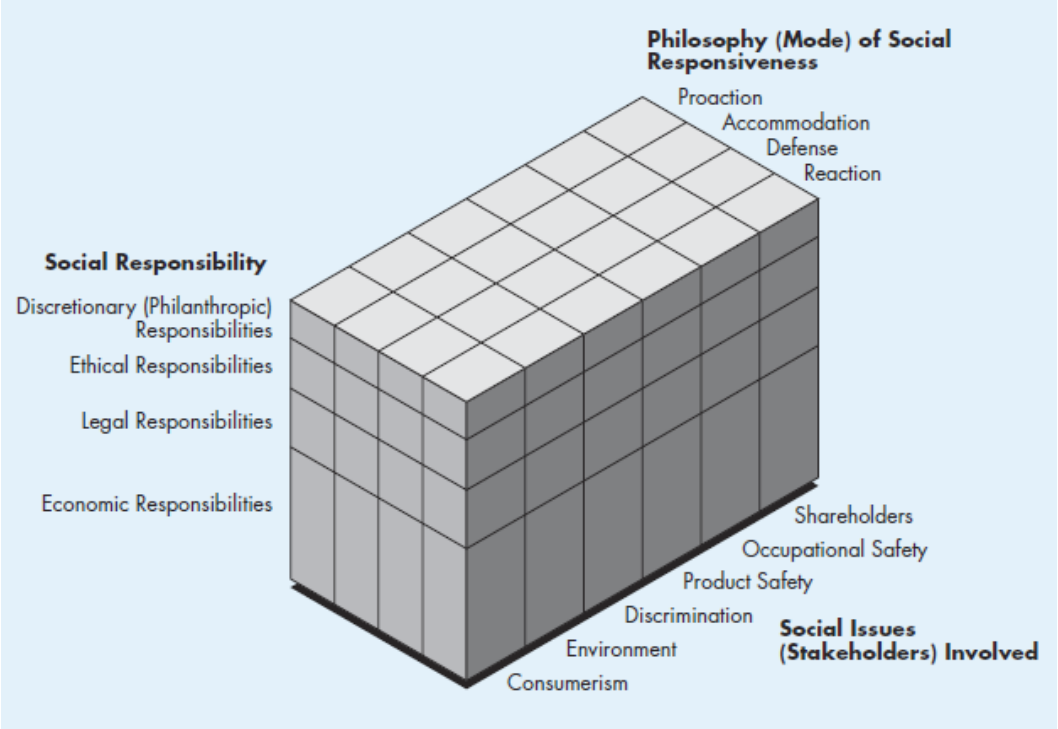

Figure 2-2 Carrol's CSP model

Source: Carroll and Buchholtz (2008, p. 58)

Carroll's (1979) definition of CSP was consequently taken up by different studies which explored in more detail the practical application of such abstract ideas for business management. The debate about CSP elements continued through the next decade, with scholars discussing the meaning of principles of corporate social responsibility (Jones, 1980, Jones, 1983, Cochran and Wood, 1984, Drucker, 1984, Wartick and Cochran, 1985, Epstein, 1987, Ashforth and Mael, 1989), the definition of social impacts from corporations (McGrath, 1980, Latane, 1981, Beaulieu, 1982, Newton and Parin, 1983, Freeman, 1984, Frederick, 1986, Jackson, 1986, Pernia and Pernia, 1986), and the ways to assess and evaluate how organisations were performing in the social dimension (Kanter and Brinkerhoff, 1981, Newton and Parin, 1983, Ullmann, 1985, Wokutch and Fahey, 1986). As an outcome, Wood (1991b) gathered knowledge developed around the topic to develop

a CSP definition which allows this study to take a comprehensive approach, clearly defining the separation between the principles of responsibility, the procedural act of responsiveness, and the production of social outcomes. Altogether, these elements could be used to evaluate how organisations perform in the social dimension. Wood (1991) provided a framework around the CSP topic with a more realistic view, providing organisations with a moral role and suggesting a logical link between principles, actions and outcomes in the social dimension. A representation of this framework is shown in Figure 2-3.

From Wood's (1991) contribution, studies flourished which investigated the managerial approach proposed to organisations, but which also explored a more pragmatic use of CSP linking CSP, financial performance, stakeholders' involvement and the impact on the company's characteristics depending on the way CSP was adopted (Thompson and Hood, 1993, Clarkson, 1995, Griffin and Mahon, 1997). After Wood (1991), scholars continued to emphasise the importance of ethical aspects included in CSP objectives (Swanson, 1999, Deniz-Deniz and Garcia-Falcon, 2002, Ibrahim et al., 2003, Frynas, 2005, Dahlsrud, 2008, Carroll and Buchholtz, 2008) and the need to translate the complexity of CSP management to operational models that could support its practical use inside organisations (Mitnick, 2000, Carroll, 2000, Carroll and Buchholtz, 2008). These approaches provided the basis for looking at CSP evaluation in the literature and promoted discussion of the limitations of assessing CSP in businesses.

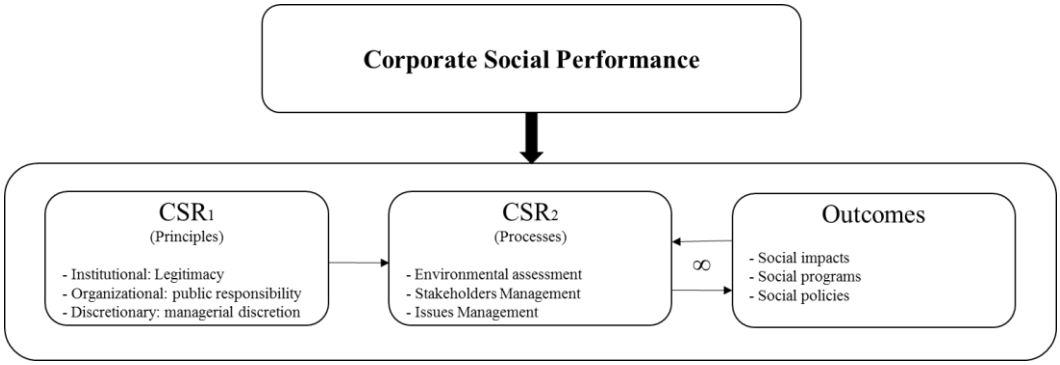

Figure 2-3 Wood's (1991) CSP framework.

Source: developed by the author from Wood (1991)

Although the discussions in the literature tried to cover different aspects of CSP after Wood (1991), often the main focus of those studies was on the measurement of CSP without necessarily pointing at a systematic process approaches (Wokutch and Fahey, 1986, Wood, 1991b, Ruf et al., 1998, Carroll, 2000, Agle and Kelley, 2001, Igalens and Gond, 2005, Florou, 2008, Salazar and Husted, 2008, Wood, 2010, Chen and Delmas, 2011, Hart and Sharfman, 2012, Sesma et al., 2012, Chang et al., 2013, Cahn, 2014, Mattingly, 2015, Nóbrega and Cândido, 2015, Hudson et al., 2017, Aparicio and Kapelko, 2019). It is possible to observe that different measures were used to represent CSP evaluation in the literature. Although this variety has been used, for example, to make environmental indicators a proxy for CSP evaluation (Stanwick and Stanwick, 1998), extensive attention has been given to the relationship between CSP and financial performance (Waddock and Graves, 1997, Stanwick and Stanwick, 1998, Orlitzky, 2001, Ruf et al., 2001, Dabbs and Bateson, 2002, Chatterji and Levine, 2006, Makni et al., 2008, Callan and Thomas, 2009, Lee et al., 2009, Peloza, 2009). Although popular with scholars, however, the concept of socio-financial performance faced criticism. The harsher criticism referred to what was used as the measure of CSP in comparison to that of financial

evaluation as some of these so-called 'social indicators' were considered limited in the representation of CSP evaluation (Wood 2010). According to Wood (2010), scholars should leave aside the chase to justify CSP adoption based mainly on financial aspects of performance because this offers only a limited and short-term view of the potential benefits for both businesses and societies. Instead, Wood (2010) argued for a focus on the social impacts experienced by stakeholders when interacting with the organisations around them.

Wood's (2010) argument also added weight to the discussion about the adoption of stakeholders' perspectives into evaluation processes. Examples of scholars who followed this approach and adopted this view are abundant in the literature (Clarkson, 1995, Wood and Jones, 1995, Logsdon and Yuthas, 1997, Ruf et al., 2001, Buono, 2005, Reed et al., 2018, Geerts and Dooms, 2020), including of those who discussed how different groups of individuals are affected by the social impacts created by organisations (Newton and Parin, 1983, Vanclay, 2002, Vanclay, 2006). The inclusion of stakeholders' perspectives helped improve the comprehension of CSP by promoting more inclusive processes that considered the view of these different groups in the analysis of the social performance (for examples see Skilton and Purdy, 2016, Preetha and Vanniarajan, 2016, Avram and Avasilcai, 2014, Zenko et al., 2013).

Despite all these developments, however, agreement on a 'one size fits all' evaluation process has not yet been reached. Wood's (2010) article reviewing CSP measurement marked the recognition of this fact and invited scholars to save their efforts trying to confirm links between financial and social performance. Wood (2010) suggested considering the context of business operations instead and work

at providing applicability to the concept of the social reality of the business world. Accordingly, the social responsibilities defined, the actions/processes planned to achieve social responsibility goals, and the social outcomes produced should all be developed based on the specific context of each different businesses.

With a move towards a more standardised implementation of CSP around the world, international organisations (e.g., ISO 26000 CSR guidelines, GRI initiative and SA 8000 standards) have helped develop a more comprehensive set of performance indicators for the social dimension. The set of indicators and processes related to their evaluation provides scholars and managers with a broader framework, making CSP management a concept more accessible for both academia and industry. The participation of these international organisations in the effort to make CSP management standardised has provided the ability to connect local assessments with a larger number of other initiatives around the globe, thus making possible the comparison between initiatives inserted in different social contexts.

The discussion promoted in this section of the literature review tries to contextualise how CSP as a primitive idea focused on the participation of organisations in society became a global subject within both industry and academy. A summary of the development of CSP management in the literature is presented in Table 2-1.

In the next section, the first block of the concept developed by Wood (1991), Corporate Social responsibility (CSR1) is analysed according to the literature.

Table 2-1 The chronological evolution of CSP concept

Focus	Contribution	References
Organisations' social role	Change in the way of viewing organisations as only responsible for shareholders' profit generation by suggesting social responsibility adoption.	Boulding (1956); Bowen (1953); McGuire (1969); Reuschling (1968); Davis (1973); Friedman (1962); Kenwright (1972); McGuire (1969)
The normative approach to CSP in business	Definitions of elements considered in CSP with few practical implications to the business.	Sturdivant & Ginter (1977), Post & Mellis (1978), Carroll (1979) Arlow & Gannon (1982)
A procedural approach to CSP	Development of processes that should be used in CSP management, including stakeholders' participation and social impacts assessment.	Ashforth & Mael (1989); Cochran & Wood (1984); Drucker (1984); Epstein (1987); Jones, (1980, 1983); Wartick & Cochran (1985); Beaulieu (1982); Frederick (1986); Freeman (1984); Jackson (1986); Latane (1981); McGrath (1980); Newton & Parin (1983); Pernia & Pernia (1986); Wood (1991)
Managerial adaptation of CSP concept	Definition of pragmatic approaches to CSP adoption in business, including the ethical aspect	Clarkson (1995); Griffin & Mahon (1997); Thompson & Hood (1993); Carroll & Buchholtz (2008); Dahlsrud (2008); Déniz-Déniz & García-Falcón (2002); Frynas (2005); Ibrahim, Howard & Angelidis (2003); Swanson (1999).
Measurement of CSP using different approaches	Scholars started evaluating CSP and linked it to other types of corporate performance (e.g., financial)	Agle & Kelley (2001); Aparicio & Kapelko (2019); Cahn (2014); Carroll (2000); Chang, Oh & Messersmith (2013); Chen & Delmas (2011); Florou (2008); Hart & Sharfman (2012); Hudson, Bryson & Michelotti (2017); Igalens & Gond (2005); Mattingly (2015); Nóbrega & Cândido (2015); Ruf, Muralidar & Paul (1998); Salazar & Husted (2008); Sesma, Husted & Banks (2012); Wokutch & Fahey (1986); Wood (1991, 2010)
Contextualisation of CSP management	CSP is related to the context of stakeholders and social impacts	Buono (2005); Clarkson (1995); Logsdon & Yuthas (1997); Ruf et al. (2001); Wood & Jones (1995); Newton & Parin (1983); Vanclay (2002, 2006); Avram & Avasilcai (2014); Preetha & Vanniarajan (2016); Skilton & Purdy (2016); Zenko, Hrast & Mulej (2013), Wood (2010)

2.3 Corporate Social Responsibility (CSR1): The Principle

Responsibility is defined as ‘a moral obligation to behave correctly towards or in respect of a person or thing’ and ‘the capability of fulfilling an obligation or duty; the quality of being reliable or trustworthy, with to, towards, or for’ (Oxford University Press, 2020). From this definition, in terms of CSP, it can be assumed that the term corporate social responsibility implies on accountability and duty for organisations to address the social dimensions of their business practices and introduces the idea that organisations have obligations to society beyond merely legal, ethical and economic expectations (McGuire, 1963, Davis, 1973).

Understanding fundamental principles such as CSR1 is essential for businesses engaging in CSP management. Translating responsibilities to the corporate realm, CSR1 can be understood as an organisation’s accountability in responding to social impacts, wholly or partially caused by their operations (Fitch, 1976, Madero Gómez and Navarro Garza, 2010). Although understanding the meaning of responsibility as a single word does not pose a challenge, understanding CSR1 in the business context is not so simple. In the literature, CSR1 has been understood in various ways. For example, the work from Dahlsrud (2008) found 37 different definitions of CSR1, which were organised in categories linked to 5 dimensions: environmental, social, economic, stakeholders, and voluntariness. Overall, this shows that the understanding of the organisation’s responsibilities can change depending on the view of those reporting them, on the social context, and/or the business environment where CSR1 is being discussed. As discussed by scholars, the understanding of CSR1 has the potential to define the organisation's behaviour as reactive, defensive, accommodative or pro-active, which influences the actions taken towards CSP

management (Carroll, 1979; Clarkson, 1991, 1995; Wartick and Cochran, 1985).

One important aspect to consider is what moves organisations to accept their CSR1. This influences how organisations adopt CSP management and how they value the maintenance of a systematic approach to CSP. In Wood's (1991) CSP model, CSR1 is moved by voluntary adoption, and this is the most significant difference between her CSP definition and others found in the literature. For example, the first CSP model proposed by Carroll (1979) described CSR1 in categories (economic, legal, ethical and discretionary) but did not include a definition of the voluntary adoption of responsibilities linked to the accountability of the organisation. The first three (economic, legal and ethical) transmit the idea of compulsory accountabilities expected from corporations, with no sense of the voluntary emerging from them. According to Carroll's (1979) view, no company can accept being economically, legally and ethically irresponsible because the consequences can be lethal for business continuity. The only dimension that could lead to a sense of voluntary adoption of CSP in Carroll's (1979) definition is the discretionary aspect, which in effect establishes that organisations are free to decide what else they want to be responsible for based on a single view adopted by them. Wood's (1991) definition of CSR1 is precisely the opposite, suggesting that organisations should define their social responsibilities based on their assessment of the internal and external business environment, understanding how they impact stakeholders as an industry, as a local organisation, and as individuals that are part of the organisation. For more clarity, Wood (1991, p. 695) explained CSR1 in these three levels as:

> expectations placed on all businesses because of their roles as economic institutions, expectations placed on particular organisations because of what they are and what

> they do, and expectations placed on managers (and others) as moral actors within the firm.

Therefore, adopting Wood's (1991) definition, together with Wood's (2010) recommendation, becomes necessary to understand the meaning of CSR1 before any discussion of CSP evaluation. Based on the understanding of CSR1 as a principle, organisations, in theory, might have better support developing their CSP management as a whole if they understand what is necessary for the industry, the local and the individual level. The investigation of the comprehension of CSR1, including its voluntary adoption principle, can thus increase understandings about what moves organisations and individuals to feel socially responsible in the corporate context.

Existing literature reveals some of the reasons why CSR1 is adopted from various aspects of business characteristics - for example, how an organisation's size can affect the adoption of CSR1 (Orlitzky, 2001, Chang et al., 2012) and suggests that larger organisations tend to better adopt CSR1 with established programs compared to smaller ones. This is because often the more extensive the organisation, the higher the pressure for establishing CSR1 programs (Agudo Valiente et al., 2012). Other scholars (Amini and Dal Bianco, 2017, Agudo Valiente et al., 2012, Ducassy, 2013, Valmohammadi, 2014) identified that CSR1 programs can help achieve a higher level of performance in other dimensions of organisations (e.g., retention of employees and better relationship with communities). Besides, the higher level of attention given to CSR1 by larger organisations relies on the assumption that they have more resources available (both human and financial) compared to smaller

organisations for dealing with aspects related to the social dimension of their businesses (Orlitzky, 2001, Schreck and Raithel, 2018, Ho et al., 2019).

Another point to consider is the way the adoption of CSR1 can be impacted by how organisations deal with their internationalisation (Vanessa et al., 2006). However, while this could be used as a reason for organisations to give more attention to CSR1, it seems that in some circumstances organisations ignore the notion of social responsibility, especially in countries where the other dimensions, such as the economic one, tend to be given far more importance than the social dimension. The literature reveals that internationalisation as a factor promoting CSR1 is more effective when the national context gives value to the social dimension (Waldman et al., 2006), which might be one of the reasons why developing countries tend to give it less priority compared to developed countries (Visser et al., 2008, Koster et al., 2019, Amini and Dal Bianco, 2017).

Another factor influencing the adoption of CSR1 by organisations is their executives' behaviours. For example, considering executives' role in implementing CSR1 concerning their time horizon in leadership within an organisation, sometimes CSR1 can receive less attention because results do not impact the performance assessments of these executives in the short term (Harjoto et al., 2019). Therefore, it is less likely for leaders staying for a short period in organisations to give importance to CSR1 and take into consideration the necessary long-term plan for achieving results in the social dimension. This hypothesis is based on the understanding that CSR1 is more related to an organisation's cultural change over time, and that, therefore, when leaders (such as CEOs) stay in the company for only a short period, they may not give CSR1 sufficient attention because they know that

soon someone will replace them. The perceptions of employees regarding the consistency of CSR1 may also be influenced when they see that every time leadership changes, the value that is given to the social dimension can also change (Stites and Michael, 2011).

Organisations tend to adopt CSR1 also because they want to show stakeholders that they are engaged in the management of the social dimensions related to their business. As emphasised by Wood (1991), one of the most critical aspects of CSR1 for CSP is a sense of real accountability and how it is used as a principle for guiding the decisions of the organisation. This sense of real accountability linked to CSR1 is vital because it ensures authenticity and credibility in the eyes of stakeholders when they perceive that words match actions in the social dimension (Wagner et al., 2009, McShane and Cunningham, 2015). This perception of authenticity can translate, for example, into the support given by different stakeholder groups during different moments of an organisation's life.

Table 2-2 summarises the factors affecting CSR1 adoption discussed above. The definition of accountabilities in the social dimension is affected by many aspects of an organisation's characteristics and motivations. Overall, the accountability sense reveals how some organisations understand CSR1 and how this can influence the development of processes and the production of social outcomes.

The next subsection explores how Corporate Social Responsiveness processes (CSR2) are discussed in the CSP literature.

Table 2-2 Factors affecting CSR1 adoption in business

Factors		Academic references
Internal	Size of the organisation	Chang et al. (2012); Orlitzky (2001)
	The need to improve the overall performance	Amini & Dal Bianco (2017); Ducassy (2013); Valmohammadi (2014)
	Top executive behaviours	Harjoto, Laksmana & Yang (2019), Stites & Michael (2011)
External	Level of stakeholder pressure on organisations	Agudo Valiente, Garcés Ayerbe & Salvador Figueras (2012)
	The need to go international	Vanessa, Jijun & Bansal (2006); Amini & Dal Bianco (2017); Koster, Vos & van der Valk (2019); Visser et al. (2008)
	The perception of stakeholders about the legitimacy of organisations' CSR1	McShane & Cunningham (2015); Wagner, Lutz & Weitz (2009)

2.4 Corporate Social Responsiveness (CSR2)

'Social responsibility expresses obligations that move people to act, and social performance emphasises results and outcome. Social responsiveness is the bridge that links the two components' (Kobeissi and Damanpour, 2007, p. 329). Corporate social responsiveness, from now on named CSR2, is understood as the process that follows the definition of CSR1, focusing on the assessment of an organisation's environment, stakeholder groups and social issues (Wood, 1991). CSR2 is an essential aspect of CSP management because it helps organisations to understand the social environment in which they are inserted, and helps support the production of social outcomes according to specific characteristics (Zhang and Luo, 2013, Lotila, 2009, Frederick 1994).

The adoption of CSR2 is influenced by both internal and external aspects of an organisation. Concerning internal aspects, the level of employees' knowledge about social processes in an organisation's management is vital for the successful implementation of processes in the social dimension (Post and Mellis, 1978, Deniz-

Deniz and Garcia-Falcon, 2002, Deniz-Deniz and De Saa-Perez, 2003). There is also evidence that an organisation's experience when engaging in overseas operations can influence the way CSR2 is incorporated into to their business (Bouquet and Deutsch, 2007, Aguilera-Caracuel et al., 2014, Zyglidopoulos et al., 2016). Implementation of CSR2 can also be helped or hindered by the way organisations set up their departmental structures (de Graaf and Herkstroter, 2007, Holmes, 1978, Moss and Warnaby, 1998, Steyn, 2004, Stohl et al., 2015). The level of corporate maturity in the social dimension (Black and Härtel, 2004), the leadership's behaviour towards social subjects (Ibrahim and Angelidis, 1995, Ibrahim et al., 2000), the availability of financial resources (Aguilera-Caracuel et al., 2014), and the inclusion of the social dimension in the organisations' strategic plan (Dentchev, 2004, Belascu, 2011, Gonzalez-Padron and Nason, 2009) are all essential factors which can influence the adoption of CSR2 by organisations. Table 2-3 summarises the internal factors that can affect the adoption of CSR2 processes in organisations.

Table 2-3 Internal factors affecting CSR2 adoption by organisations

Factors	Academic references
Level of employees' knowledge about social processes in organisations' management	Deniz-Deniz & De Saa-Perez (2003); Deniz-Deniz & Garcia-Falcon (2002); Post & Mellis (1978)
Organisations' experience engaging overseas operations	(Aguilera-Caracuel et al. (2014); Bouquet & Deutsch (2007); Zyglidopoulos, Williamson & Symeou (2016)
Organisations' departmental structure configuration	de Graaf & Herkstroter (2007); Holmes (1978); Moss & Warnaby (1998); Steyn (2004); Stohl et al. (2015)
The level of corporate maturity to deal with social aspects	Black & Härtel (2004)
Leaderships' posture towards social subjects	Ibrahim & Angelidis (1995); Ibrahim, Angelidis & Howard (2000);
Availability of financial resources	Aguilera-Caracuel et al. (2014)
Inclusion of social aspects in the organisations' strategic plan	Belascu (2011); Dentchev (2004); Gonzalez-Padron & Nason (2009)

External factors influencing the development of CSR2 include the influence of different stakeholder expectations, with some perhaps requiring more attention than others (Kobeissi and Damanpour, 2007, Sampson et al., 2007, Esteves, 2008, Ismail et al., 2015, Geerts and Dooms, 2020). Regulatory issues dealing with authorities (Hess, 2001), framed by local and regional social issues (Dabbs and Bateson, 2002, Yawar and Seuring, 2015, Ibañez-Forés et al., 2020), can also influence the way organisations develop CSR2 because they need to comply with these aspects to ensure operational continuity (Braga and Veloso-Gomes, 2020). Finally, characteristics of the social impacts caused by organisations can influence the establishment of CSR2 because the level of response can vary (Vanclay et al., 2015, Götzmann et al., 2015, Harvey and Bice, 2014, Bice, 2014, Michell and McManus, 2013). A summary of the external factors influencing the adoption of CSR2 and relevant literature is presented in Table 2-4.

Table 2-4 External factors affecting CSR2 adoption in organisations

Factors	Academic references
Influence/pressure of external stakeholders' groups	Esteves (2008); Ismail, Alias & Mohd Rasdi (2015); Kobeissi & Damanpour (2007); Sampson, Goodrich & Taylor (2007); Geerts and Dooms, 2020
Regulation (Compulsory adoption)	Hess (2001), Braga & Veloso-Gomes (2020)
Nature of existing social issues	(Dabbs & Bateson 2002; Ibañez-Forés, Bovea & Coutinho-Nóbrega 2020; Yawar & Seuring 2015)
Analysis of social impacts caused by the organisation	Bice (2014); Götzmann, Vanclay & Seier (2015); Harvey & Bice (2014); Michell & McManus (2013); Vanclay et al. (2015)

Nevertheless, both external and internal aspects related to CSR2 development must be considered in tandem to ensure that an organisation's processes in the social dimension are efficient and effective, producing positive social outcomes. In this

way, managers can anticipate potential issues that might arise as well as to monitor the ongoing social performance of the organisation.

Two aspects of Wood's (1991) CSP framework are specifically crucial for the development of CSR2 in organisations: stakeholder management, and social impacts management. Both these aspects are seen as the *raison d'etre,* for actions developed by an organisation concerning the social dimension. If stakeholders and social impacts are absent from the definition of CSP, there is in effect no social dimension to be considered. Therefore, in the next subsection, more attention is given to stakeholder management and social impacts management about the development of CSR2.

2.4.1 Stakeholders: to Whom the Organisation is Responsible

Freeman (1984, p. 25) defined stakeholders as 'groups and organisations that are affected by or can affect an organisation's operations'. Critical examples of stakeholders that organisations may have to consider are community members, government representatives, employees, consumers and shareholders (Carroll and Buchholtz, 2008) (Figure 2-4). Because stakeholders are the ones impacted by the positive or negative outcomes produced by organisations, Wood & Jones (1995) took Freeman's (1984) definition further, giving stakeholders the role of assessing the social performance of organisations. Overall, there are differences between internal and external stakeholders, and their specific characteristics influence their relationships and interactions with an organisation (Lam and Yap, 2019, Reed et al., 2018, Fu et al., 2018, Berman and Johnson-Cramer, 2017, Welcomer, 2016).

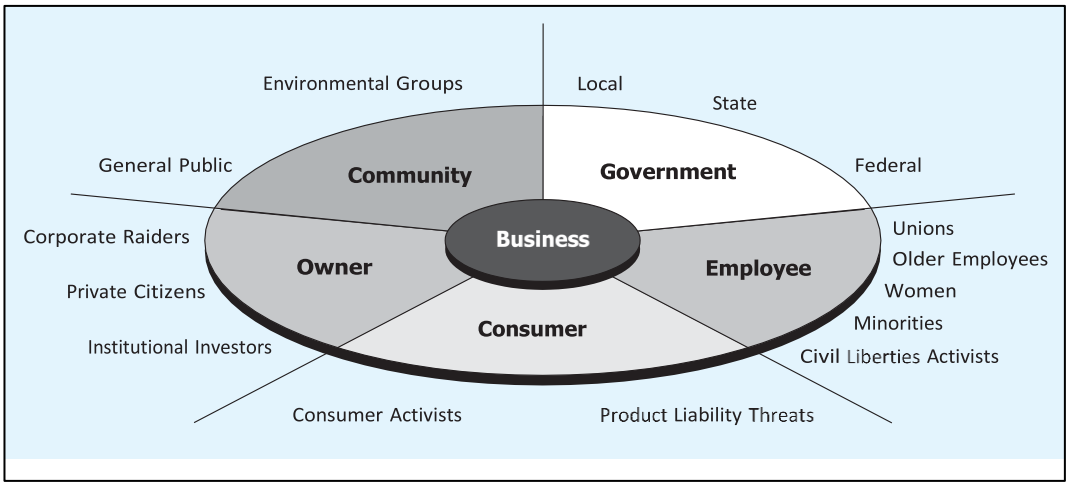

Figure 2-4 CSR organisations' common stakeholders.

Source: Carroll and Buchholtz (2008, p. 9)

Other factors that encompass discrete internal and external factors can also influence the way stakeholder groups perceive the CSP of organisations. For example, the cultural and economic backgrounds of stakeholders can influence behaviour towards organisations, with wealthier and more educated stakeholders being generally more demanding in the social dimension (Clarkson, 1995, Taylor et al., 2004, Slootweg et al., 2001). Another factor that can influence relationships between organisations and stakeholders is the stakeholders' level of significance in that relationship. Savage et al. (1991, p. 62) argued that:

> Stakeholders' significance depends upon their situation and the issues and managers must have appropriate methods to deal with different stakeholders. Of all the possible stakeholders, the ones who will be relevant to the organisation's executives depend on the particular issue. Both the stakeholder's willingness and opportunity to act are particularly sensitive to specific issues.

Jones et al. (2004) linked stakeholder significance to economic differences, urging organisations not to prioritise wealthy stakeholders in favour of the poor because such favouritism can jeopardise any sense of authentic social responsibility

developed by the organisation. Besides, there is a risk that in the chase for more significance, underestimated stakeholders can overreact and impose challenging scenarios for an organisation.

Another significant difference between stakeholder groups is their capacity for active or passive behaviour towards organisations (Mahoney, 1994, Clarkson, 1995) and how stakeholders can use this in their favour to define how urgent of their claims can become (Hart and Sharma, 2004, Miles, 2015). The urgency definition is an essential consideration because organisations have finite resources and prioritising their use can become a challenge.

More powerful or salient stakeholders tend to get more attention and priority sense as they can exert more pressure on organisations (Matuleviciene and Stravinskiene, 2016, Miles, 2015, Ben Lahouel et al., 2014). Mitchell, Agle and Wood (1997) defined power from a perspective where 'a party to a relationship has power to the extent it has or can gain access to coercive, utilitarian, or normative means, to impose its will in the relationship' (p. 865). In the view of Mitchell, Agle and Wood (1997), a transitory aspect has to be added to stakeholders' power as it can be gain and lost over the time.

More complexity is added by the fact that stakeholders' not only power, but the characteristics tend to change over time and along the different moments in an organisation's development (Gil-Lafuente and Paula, 2013). For example, during the construction phase, community stakeholders tend to have more influence with organisations as they react to the physical changes occurring in their environment, while in later stages when operations are running and products and services become

the business focus, more importance may, for example, be given to consumers. Conversely, however, if community stakeholders still have grievances with the organisation, the temporal aspect works for the increasing pressure from different stakeholders than the change of their relevance. Therefore, the assessment of different groups by organisations engaging in CSP management must be systematic and cyclical, including regular reviews (Clarkson, 1995, Taylor et al., 2004, Slootweg et al., 2001, Reed et al., 2018, Vanclay, 2020).

As mentioned previously, stakeholders are also important for giving legitimacy to CSP management (Wood, 2010). In Wood's (2010) view, legitimacy is linked that only stakeholders affected by the organisation can provide adequate inputs about the organisation performance in the social dimension. However, there is a legitimacy view that deals with stakeholders' characteristic that provides them with the right to claim actions from organisations due to impacts caused by the business. Mitchell, Agle and Wood (1997) define stakeholders' legitimacy as a characteristic comparable to a 'social good', larger and more shared than a mere self-perception that can be defined and negotiated in different social organisation levels. In this perspective, the context where the legitimacy is defined is important because a more in-depth analysis to define if the claim is legitimate can vary depending on aspects that change from one society configuration to another (e.g., cultural view, ethical view, political environment).

These aspects of stakeholder characteristics, although not exhaustive, contribute to the investigation of CSP management by providing important understandings about how different groups and their characteristics may be considered in the development of CSP by businesses. In addition to the different characteristics of

stakeholders, the time factor must also be taken into account, supporting, for example, systematic risk analysis for long-term plans and aiming to provide predictability to the business environment. Another aspect directly linked to stakeholder management is their comprehension of the social impacts in their lives which are caused by organisations. The following subsections discuss this aspect from the perspective of CSP management.

2.4.2 Social Impacts in the Context of CSP

In the broader sustainability approach, a social impact can be defined as an outcome of an organisation's activity which affects stakeholders economically, environmentally and/or socially (Arena et al., 2015, Ebrahim and Rangan, 2010, Social Impact Investment Task Force, 2014, Costa and Pesci, 2016). From a stakeholder's perspective, social impacts are:

> all social and cultural consequences to human populations of any public or private actions that alter the ways in which people live, work, play relate to one another, organise to meet their needs and generally cope as members of society (Interorganizational Committee on Guidelines and Principles for Social Impact Assessment 1995, p. 13).

Social impacts also include changes in the psychological perspective, which Latane (1981, p. 343) defined as:

> any of the great variety of changes in physiological states and subjective feelings, motives and emotions, cognitions and beliefs, values and behaviour, that occur in an individual, human, or animal, as a result of the real, implied or imagined presence or actions of other individuals.

Finally, the more comprehensive definition of Social impacts provided by Vanclay

et al. (2015, p. 2) states that social impacts are:

> all the issues associated with a planned intervention that affect or concern people, whether directly or indirectly. Specifically, a social impact is considered to be something that is experienced or felt in either a perceptual (cognitive) or a corporeal (bodily, physical) sense, at any level, for example at the level of an individual person, an economic unit (family/household), a social group (circle of friends), a workplace (a company or government agency), or by community/society generally. These different levels are affected in different ways by an impact or impact causing action.

Concerning the perception of social impacts by stakeholders, some scholars have argued they tend to be perceived more clearly from the local level (Geurs et al., 2009, Papania et al., 2008), while other scholars argued that, depending on specific characteristics, organisations' social impacts can reach a regional or global level (Nigh and Cochran, 1987, Rodrigue et al., 2013). One example of regional social impacts with global reach is the disruption to the health supply chain: local stakeholders can face logistical problems acquiring raw materials and managing production, while on a global scale, consumers relying on health services can be affected because the material or equipment they need is not available (Ivanov and Dolgui, 2020).

Another interesting consideration is how individuals and groups assimilate the effects of the social impacts of business practices. The perception of social impacts can be corporeal (physical) or cognitive (perceptual), whether at the level of the individual, household, or society/community (Slootweg et al., 2001). Moreover, even groups with 'similar' characteristics but located in different parts of the globe can perceive impacts differently depending on the environment they inhabit. For

organisations operating globally, this needs to be accounted for because the same apparent social impact may demand a different approach/solution (Vanclay, 2002, Dreyer et al., 2010, Olson, 2011). For example, facilities emitting dust particles can face more or less attention from stakeholders depending on the geography of the local region.

It is important to emphasise here that, while social impacts can be both positive and/or negative, organisations often focus more on social programmes, processes and policies which attempt to mitigate the negative impacts (Franks et al., 2010, Loxton et al., 2013). Positive social impacts can be maximised, but negative ones have the potential to interrupt business operations, which offers a possible explanation of why they get more attention from managers. Examples of negative social impacts for different stakeholders (e.g., community, employees, consumers, government and suppliers) can include community health and safety (H&S) issues, increased levels of stress, breaches of consumer privacy, the use of child labour, corruption, and/or unfair contract practices (Vanclay, 2002, Smyth and Vanclay, 2017, Geurs et al., 2009, Dreyer et al., 2010). Examples of positive impacts encompass but are not restricted to the opposite outcomes represented by the negative social impacts referred above (refer to Table 2-5). A more comprehensive list of examples of social impacts that may be experienced by stakeholders is available in Table 2-5.

The complexity of social impacts characteristics can directly influence assessment processes adopted to identify them in the context of CSP management (Vanclay et al., 2015). Besides, this complexity can also influence the way organisations produce social outcomes, thereby potentially mitigating or maximising social

impacts (Yawar and Seuring, 2015, Isaksson and Woodside, 2016). Similar to stakeholder management, social impacts management also has a temporal factor, and their level of importance can change over time (Dreyer et al., 2010, Feschet et al., 2012). However, some of the social impacts, such as those related to H&S, tend to receive more attention from organisations in general due to their capacity to cause harm to stakeholders (Haas, 2020).

A vital outcome of the analysis of social impacts is the production of systematic and up-to-date assessments which allow for the identification and categorisation of social impacts. The process for assessing social impacts is commonly called a Social Impacts Assessment (SIA). The next section examines SIA about the CSP responsiveness process defined by Wood (1991).

Table 2-5 Negative social impacts experienced by different stakeholders

Stakeholders' group	Negative Social impacts examples	Positive Social impacts examples
Community	- Health and education systems overload - Lack of housing availability - Mobility constraints - Issues related to community safety - Increase in stress - Environmental disturbance - Cultural disruption - Social cohesion disruption - Economic imbalance	- Health and education systems investments - Investment in housing availability - Mobility projects implementation - Improvement of community safety - Better Environment management - Cultural events promotion - Economic gains

Table 2-6 Negative social impacts experienced by different stakeholders (Cont.)

Stakeholders' group	Negative Social impacts examples	Positive Social impacts examples
Employees	- Lack of fair contract practices - Occupational health and safety issues - Lack of disability and invalidity support - Lack of freedom of association - Use of child and slave labour - Production of employment gender inequality - Wage inequality - Turnover	- Employment - Development of health and awareness - Support to employees (disability and invalidity) - Establishment of apprenticeship programs - Inclusive work practices - Equal work opportunities - Workforce retainment
Consumers	- Unsustainable production - Lack of product safety - Unfair market competition - Lack of waste recycling - Risk to consumer privacy	- Products fit for purpose - Environmental friendly production - Consumers' privacy care - Fair marketing strategies
Government	- Taxes payment avoidance - Corruption practices with and against government - Lack of participation in the civil society development	- Contribution to the tax payment - Improvement of ethical practices adoptions - Adoption of a corporate citizenship role
Suppliers	- Lack of local procurement - Lack of support of local supply chain development - Unfair contract practices - Lack of proper procurement management system	- Development of local suppliers - Fair contracting practices - Focus on the local economy development

2.4.3 SIAs and CSP Management

Social impacts assessment (SIA) is defined as:

> a set of efforts to assess or estimate, in advance, the social consequences that are likely to be followed by specific policy actions (including programs, and the

> adoption of new policies), and specific government actions (including buildings, large projects, and leasing large track of land for resource extraction). (Interorganizational Committee on Guidelines and Principles for Social Impact Assessment, 1995, p. 12).

In a more straightforward but broader approach, Vanclay (2020, p. 1) defines SIA as 'a field of research and practice that addresses everything associated with managing social issues throughout the project lifecycle (pre-conception to post-closure)'.

SIAs are complex processes that demand comprehensive analyses of different aspects by managers (Isaksson and Woodside, 2016, Vanclay, 2020). These processes include, but are not limited to analysing the social characteristics of regions, including stakeholder groups; monitoring social impacts already under management; and, the development of methods for documenting and managing the effects that may arise from a particular intervention (Sampson et al., 2007). The emphasis on complexity is essential in reinforcing the idea that SIAs need to be carefully considered, case by case, because pre-established and prescribed processes and actions which seek quick solutions may be ineffective or counter-productive (Vanclay, 2002, Fearnside, 2016). For example, considering the number of different interfaces with organisations, the execution of SIAs demands time, effort and resources to be effective (Taylor et al., 2004). This implies the need for a specialised workforce to manage SIAs, to ensure their alignment with the social objectives of the organisation.

One of the aspects that deserves attention as an outcome from SIA is the communication of the assessment outcomes within the organisation and across the various stakeholders' groups. Sometimes, although SIA is conducted and implemented by organisations, the reporting of the actions and outcomes does not

achieve the necessary quality level as expected (Castilla-Polo and Ruiz-Rodrigues, 2020). Therefore, it is necessary to ensure that both elaboration and reporting of SIA are carried out with the highest levels of quality by organisations.

The benefits of SIAs for organisations can also differ. Examples include their importance as a managerial tool in conflict management processes (Prenzel and Vanclay, 2014); their influence promoting a risk mitigation culture (Mahmoudi et al., 2013); and/or the way they support the production of effective social outcomes (Baines et al., 2003, Loxton et al., 2013, Baines et al., 2013). Harvey and Bice (2014) suggested examining the benefits of SIAs arising in different moments of an organisation's development, incorporating SIAs as permanent tools for the management of social performance (Franks and Vanclay, 2013).

Overall, the importance of SIAs to CSP is related to how SIAs contribute to improving the management of social impacts for stakeholders (Campbell, 2007), and to the potential they have to change management culture about corporate social performance (Hudson et al., 2017). These changes can be adopted voluntarily, as suggested by Wood (1991), or by compulsory impositions from official regulation. Examples of imposed regulatory contexts can be found in countries such as Iceland and India, where government regulations have forced organisations to assess specific aspects of social impacts. In Iceland, for example, a law passed by the government on the 1st of January 2018 set that every organisation with more than twenty-five (25) staff members must pay equal salaries for people on the same role, regardless of gender, sexuality or ethnicity. Consequently, all companies in Iceland were urged to develop SIAs to completely eradicate such wage gaps by 2022 (Gray, 2018). In India, since 2014, every organisation reporting annual revenues of more

than 10 billion Rupees (approx. US$ 150 million) must donate 2% of net profit to charity (Balch, 2016). The Indian case not only demands too much work adapting the organisation to the new requirement but demands the definition of issues and subjects that the organisation would tackle with the 2% revenue policy. In general, if SIAs correctly report areas where social performance can improve, the use of resources tends to become more effective (Mottee et al., 2020).

By viewing the role of stakeholders and social impacts as part of CSR2, important insights can be gained into the differences between industry/business in CSP management (Wood, 2010, Wood, 1991b, Wood and Jones, 1995). Based on the analysis of stakeholders and social impacts, organisations are able to produce social outcomes which can in later stages facilitate the evaluation of their performance in the social dimension - a theme consistently highlighted for attention by scholars (Ha et al., 2017). The next section explores social outcomes in the context of CSP incorporation and presents critical aspects considered in this study.

2.5 Social Outcomes in the CSP Context

The third element of CSP management described by Wood (1991) are the social outcomes, which emerge from the definition of CSR1 and the implementation of CSR2 (Wood 1991). Social outcomes include the social impacts and the corporate social programs and policies created to address the effects of organisations operations in stakeholders (Wood 1991). With social impacts, often it is not possible to plan or predict how they will occur, even with proper SIAs performed by organisations (Vanclay et al., 2015, Smyth and Vanclay, 2017). However, once social impacts are identified, understanding their causes, and proposing solutions is crucial to minimise or eliminate tensions between organisations and stakeholders

(Prenzel and Vanclay, 2014).

Policies and programs in the social dimension are, therefore, the primary outcomes created by a corporation which seeks to manage social impacts (Wood, 1991b, Barkan, 2012, Isaksson and Woodside, 2016, Ismail et al., 2015). The importance of policies and programs in the management of CSP links to the fact that they can later become part of the assessment criteria used to evaluate CSP (Wood, 1991b, Wood, 2010).

Various examples of social outcomes created by organisations can be found in the literature, including programs and policies that focus on the benefits of paying taxes (Scheiwiller and Symons, Frynas, 2005, Muller and Kolk, 2012), the improvement of employees' health and safety based on strong corporate policies (Paredes-Gazquez et al., 2016), and the support that can be created by human resources (HR) policies focused on career management (Van Buren, 2005). Other HR policies seen as necessary to the social dimension include the elimination of wages gaps (Jung and Kim, 2015), equalisation of opportunities concerning gender and minority status (Albinger and Freeman, 2000, Leonard, 2010), and the freedom for union association by employees (Turban and Greening, 1997).

Concerning organisational practices, the potential social outcomes of CSP can include support for educational programs in communities (Preetha and Vanniarajan, 2016, Ismail et al., 2015), the adoption of sustainable production practices (Shnayder et al., 2016), support for drug use prevention campaigns (Kulczycki and Koenigstorfer, 2016), the adoption of charity giving (Billo, 2015, Mattila and Hanks, 2012), the positive exploitation of touristic activities (Andrade and Costa, 2020)

and the promotion of innovative practices which can increase social benefits for stakeholders linked to the organisation (Pirsch et al., 2006). Table 2-6 summarises the possible range of social outcomes and presents the primary literature references related to them.

Table 2-7 Example of social outcomes produced by organisations

Social outcomes by organisations	Academic references
Payment of taxes	Frynas (2005); Muller & Kolk (2012); Scheiwiller & Symons (2009)
Improvement of employees' health and safety aspects	Paredes-Gazquez, Rodriguez-Fernandez & de la Cuesta-Gonzalez (2016)
Support concerning career management	Van Buren (2005)
Fulfilment of the wages gap	Jung & Kim (2015)
Equalization between genders and minorities opportunities	Albinger & Freeman (2000); Leonard (2010)
Freedom of employees for union association	Turban & Greening (1997)
Support for educational programs in communities	Ismail, Alias & Mohd Rasdi 2015; Preetha & Vanniarajan (2016)
Adoption of sustainable production practices	Shnayder, van Rijnsoever & Hekkert (2016)
Support for drug use prevention campaigns	Kulczycki & Koenigstorfer (2016)
The positive touristic activities linked to the organisation operations	Andrade & Costa (2020)
Charity giving	Billo 2015; Mattila & Hanks (2012)
Promotion of innovation practices	Pirsch, Gupta & Grau (2006)

About the categorisation of social outcomes, Richards et al. (2015) proposed an analysis based on the dimensions of environment, consumer responsibility, community, partnerships, employee relations, and indigenous perspectives. Richards et al. (2015) also outlined how organisations can produce positive outcomes within each of these categories (summarised in Table 2-7). Although directly related to the food industry, Richards et al.'s (2015) analysis is useful because it shows a multidimensional approach to different social outcomes, and helps highlight specific actions which might be taken to make the incorporation of social outcomes more effective. By having this conceptual separation of social outcomes in different dimensions of business' analysis, it becomes easier to

evaluate precisely where an organisation is performing well and/or where more attention is required in terms of development (Aguinis, 2009, Aguinis et al., 2011).

Table 2-8 Social outcomes categories and definitions

Category	Definition
Environment	Activities that aim to reduce or prevent environmental impact, for example by sponsoring national environmental campaigns, endorsing government initiatives, adopting responsible sourcing practices, packaging initiatives, and various programs that focused on saving or recycling resources (e.g., litter, water, energy).
Consumer Responsibility	Activities relating to the responsible marketing initiatives and policies of the company about health, for example, health initiatives, provision of nutrition and health information, and resources that promote healthy behaviour.
Community	Activities relating to the support of community programs and events, for example, supporting sporting events, non-profit organisations and volunteer programs.
Partnerships	Activities relating to partnerships formed between companies and professional and not-for-profit organisations to advance and promote research and foster community development.
Employee Relations	Activities that provide professional development and education opportunities for staff members, implementation of equal employment policies, and programs that promote employee health and wellbeing.
Indigenous	Activities that support not-for-profit organisations that implement programs for the Indigenous population, for example, developing leadership and mentoring skills, promoting the sport, and improving public space, and infrastructure in Indigenous communities.
Diversity	Programs aimed at populations identified as experiencing hardship, for example, migrant populations, disadvantaged youth, and individuals with disabilities.

Source: Richard et al. (2015, p. 552)

It is essential to understand that individuals/groups perceive the effects of social outcomes produced inside and outside of organisations (Jones et al., 2017), and that stakeholders should be evaluating the social performance of organisations (Kulczycki and Koenigstorfer, 2016, McShane and Cunningham, 2015). It will not make sense, for example, to assess community social programs without asking

members of that community how they perceive the actions and impacts of an organisation.

Another salient point is the need to consider the reasons why organisations commit to the development of positive social outcomes as part of their activities, which can include managers' discretionary behaviour towards the topic (Ismail et al., 2015), the approach adopted by an organisation concerning sustainable objectives (Billo, 2015, McMillan, 1996), the type of image the organisation wants to project (Pirsch et al., 2006, Nardella et al., 2020), the availability of financial resources (Aguilera-Caracuel et al., 2014), and/or the level of interaction between organisations and stakeholders (Billo, 2015, Tubino et al., 2011, Lozano et al., 2020). However, the regulation and imposition of legal procedures remain one of the main drivers of social outcomes production (Gray, 2018, Strapazzon and Wandscheer, 2020, Balch, 2016, Hess, 2001). Although not exhaustive, factors that may promote the production of social outcomes are summarised in Table 2-8.

Table 2-9 Factors influencing in the production of social outcomes in organisations

Factors influencing the production of social outcomes in organisations	Academic references
The way managers invest in their discretionary attention to the topic	Ismail, Alias & Mohd Rasdi (2015)
The approach that an organisation adopt concerning sustainable objectives	Billo 2015; McMillan (1996)
The availability of financial resources	Aguilera-Caracuel et al. (2014)
The level of interaction between organisations and stakeholders	(Billo 2015; Tubino, Yap & Devlin (2011)
Regulation and imposition of legal procedures	Balch 2016; Gray 2018; Hess 2015; Strapazzon & Wandscheer (2020)

This section marks the end of the discussion concerning the three elements of CSP management defined in Wood's (1991) model, which covered CSR1, CSR2 and the

social outcomes. The next section discusses what drives organisations to the adoption of CSP management.

2.6 Drivers and Benefits of CSP Adoption

A customised analysis of CSP based on specific industries' characteristics - as proposed by Wood (2010) - can be enriched if the reasons for CSP management adoption are investigated (Arminen et al., 2018). These drivers can vary depending on the social context of an organisation, including but not limited to the cultural characteristics of a country, the economic situation, and/or geography (Aguilera et al., 2007).

From an external perspective, pressure from different stakeholder groups, influenced by their diversity and level of power, is one of the factors influencing the adoption of CSP management as part of performance assessment\analysis (Muller and Kolk, 2010, Brower and Mahajan, 2012, Symeou et al., 2018). One of the reasons may link to the level of exposure that organisations have nowadays. As the online exposure of companies and the sharing of information between stakeholders increases (Benitez et al., 2020), it is expected, when political circumstances permit, that stakeholders make their voices heard about what they expect from organisations. Therefore, the improvement on the support of external stakeholders can be a driver moving organisations towards the adoption of CSP (Costa & Pesci, 2016).

The political scenario and level of a country's development can also drive organisations to adopt CSP as part of their performance framework (Symeou et al., 2018, Ioannou and Serafeim, 2012). The expansion of an organisation's

international participation can also be a factor driving the adoption of CSP (Symeou et al., 2018). As organisations need to survive in different businesses environments, they tend to learn more about CSP and adopt it in their portfolio of actions in the social dimension. The need for financing from institutions that value good performance in the social dimension is another external driver that can move organisations towards the adoption of CSP (Slager and Chapple, 2015). Still in the realm of external drivers, CSP adoption can be influenced by the need to cope with demands from labour unions (Ioannou and Serafeim, 2012), the need to adapt to economic and institutional changes in specific industries (Campbell, 2007).

Internal drivers include the need to improve organisational efficiency (Ioannou and Serafeim, 2012, Filatotchev and Nakajima, 2014, Chen and Delmas, 2011, Xiong et al., 2016, Avram and Avasilcai, 2014, the need of attracting and retaining employees (Turban and Greening, 1997, Sohn et al., 2015, Jones et al., 2014), increasing in the perception of organisational commitment to social responsibilities (Stites and Michael, 2011), and management's orientation towards the adoption of CSP (Muller and Kolk, 2010, Kang, 2009).

Other drivers for the adoption of CSP also exist which do not necessarily fall into discrete external or internal categories, including the type of institutional ownership (Graves and Waddock, 1994, Johnson and Greening, 1999, Ben Lahouel et al., 2014), the heterogeneity and independence of the executive board (Boulouta, 2012, Coffey and Wang, 1998, Álvarez and Zubeltzu, 2017, Thomas and Simerly, 1994). Examples of this mix of external and internal characteristics occur when the board is formed by public representatives or the organisation possess public entities as owners. Also, the size of the business (with larger companies suffering more

pressure to adopt CSP) (Chang et al., 2012, Stanwick and Stanwick, 1998, Thompson and Hood, 1993), and/or the orientation concerning CSP that some industries have due to their operational nature (Isaksson and Woodside, 2016) will depend on the internal aspects but also the external context that the organisation is inserted (e.g., size of the organisation *versus* the size of the city, dust emissions controls in touristic areas becoming more an issue than in industrial cluster areas). Again, while not exhaustive, the list of drivers for CSP adoption mentioned above is summarised in Table 2-9.

Table 2-10 Overall aspects of driving organisations to adopt CSP management

Nature of drivers	Drivers to adopt CSP in organisations	Academic references
External Drivers	The pressure from different stakeholders groups	Brower & Mahajan (2012); Muller & Kolk (2010); Symeou, Zyglidopoulos & Williamson (2018)
	Improve support of external stakeholders	Costa & Pesci (2016)
	The political scenario and level of a country's development	Cai, Pan & Statman (2016); Ioannou & Serafeim (2012); Symeou, Zyglidopoulos & Williamson (2018)
	The internationalisation of organisations	Symeou, Zyglidopoulos & Williamson (2018)
	The need for financing	Slager & Chapple (2015)
	Demands from labour unions	Ioannou & Serafeim (2012)
	Economic and institutional changes that happen in specific industries	Campbell (2007)
Internal Drivers	The need to improve the business' efficiency	Avram & Avasilcai (2014); Chen, & Delmas 2011; Filatotchev & Nakajima (2014); Ioannou & Serafeim (2012); Xiong et al. (2016)
	The need to attract and retain employees	Jones,Willness & Madey (2014); Sohn et al. (2015); Turban & Greening (1997)
	The need to increase organisational commitment	Stites & Michael (2011)
	The impact of top management influence in the process of adopting CSP	Kang (2009); Muller & Kolk (2010)

Table 2-11 Overall aspects of driving organisations to adopt CSP management (Cont.)

Nature of drivers	Drivers to adopt CSP in organisations	Academic references
A Mix of Internal and External Drivers	The type of institutional ownership	Ben Lahouel, Peretti & Autissier (2014); Graves & Waddock (1994); Johnson & Greening (1999)
A Mix of Internal and External Drivers	Heterogeneity and independence of the board	Álvarez & Zubeltzu (2017); Boulouta (2012); Coffey & Wang (1998); Thomas & Simerly (1994)
	Size of the organisation	Chang et al. (2012); Stanwick & Stanwick (1998); Thompson & Hood (1993)
	Industry characteristics background	Isaksson & Woodside (2016)

Another aspect discussed in the literature is the range of potential benefits to organisations from adopting CSP management. From an internal perspective, benefits can include: cost savings in environmental programs (as stakeholders tend to put less pressure on the organisation when they recognise CSP adoption) (Gadenne et al., 2008, McGee, 1998, Nasi et al., 2016); increased employee commitment to the brand (Luo and Bhattacharya, 2009, Ramchander et al., 2012); attractiveness of the company to, and retention of employees (as better performers in the social dimension tend to gain more attention from the workforce) (Albinger and Freeman, 2000, Riordan et al., 1997, Turban and Greening, 1997, Van Buren, 2005); increased feelings of ownership as internal stakeholders feel more connected to the organisation (Neubaum and Zahra, 2016, Deegan and Soltys, 2007); and/or improved financial performance, although the methods used in such analyses may be of questionable validity (For examples see: Makni et al., 2008, Waddock and Graves, 1997, Tsuru et al., 1978, Zhao and Murrell, 2016).

From an external perspective, benefits of CSP adoption can include: the improvement of external stakeholder management (Agudo-Valiente et al., 2015,

Brower and Mahajan, 2012, Clarkson, 1995, Erdiaw-Kwasie et al., 2017, Logsdon and Yuthas, 1997); the facilitation of new projects or expansions (Loosemore, 2007); improvements in compliance and regulations management (Williamson et al., 2006, Gonzalez-Padron and Nason, 2009); and/or the improvement of risk management (Loosemore, 2007, Zimmer et al., 2017).

In terms of market competition, benefits can include improvements in sales performance (as some consumers give more value to organisations recognised as social performers (Porter, 2008, Wieseke et al., 2009); the increase of competitive advantage (as in some markets companies performing well in the social dimension tend to gain more visibility) (Carroll and Shabana, 2010); increased customer loyalty (Du et al., 2010); improved brand image/reputation (Melo and Garrido-Morgado, 2012, Vallentin, 2007); and/or increased perceptions of legitimacy and integrity about the social actions of an organisation (Porter, 2008, Kramer and Porter, 2006). Table 2-10 presents a summary of these potential benefits of adopting CSP management.

Overall, the literature offers essential insights into what drives organisations towards the adoption of CSP, and into the potential benefits for organisations while doing so. The next section examines different aspects of CSP evaluation (e.g., evaluation processes and the definition of performance indicators) and how their adoption influences the incorporation of CSP management.

Table 2-12 Benefits of adopting CSP in organisations

Type of benefit	Benefits of adopting CSP in organisations	Academic references
Economic/Financial	The economy in environmental programs	Gadenne, Kennedy & McKeiver (2008); McGee (1998); Nasi et al. (2016)
	Improvement in sales performance	Porter 2008; Wieseke et al. (2009)
	The increase in competitive advantage	Carroll & Shabana (2010)
	The improvement of financial performance	Makni, Francoeur & Bellavance (2008); Tsuru et al. (1978); Waddock & Graves (1997); Zhao & Murrell (2016)
Improvement of relationship and engagement of stakeholders	Increase of employees and consumers commitment to the brand	Luo & Bhattacharya (2009); Ramchander, Schwebach & Staking (2012)
	The attractiveness and retention of employees	Albinger & Freeman (2000); Riordan, Gatewood & Bill (1997); Turban & Greening (1997); Van Buren (2005)
	The increase of the ownership feeling as internal stakeholders	Deegan & Soltys (2007); Neubaum & Zahra (2016)
	The increase in customer loyalty	Du, Bhattacharya & Sen (2010)
	The improvement of stakeholders' management	Agudo-Valiente, Garcés-Ayerbe & Salvador-Figueras (2015); Brower & Mahajan 2012; Clarkson 1995; Erdiaw-Kwasie, Alam & Kabir 2017; Logsdon & Yuthas 1997
	The facilitation in the implementation of new projects or expansions	Notteboom and Winkelmans (2003)
Reputation and image construction	The improvement of brand image and reputation	Melo & Garrido-Morgado (2012); Vallentin (2007)
	The support to build legitimacy or integrity about the social actions	Kramer & Porter (2006); Porter (2008)
	The facilitation in the implementation of new projects or expansions	Notteboom and Winkelmans (2003)
	The improvement of risks mitigation and management	Loosemore (2007); Zimmer et al. (2017)

2.7 CSP Evaluation in the Literature

The objective of this section is to unveil how scholars in the literature discussed CSP evaluation. The evaluation of CSP has been a topic of interest for different scholars over time, with no consensus achieved about which method or metric should be used (Keeley, 1978, Sethi, 1979, Salazar et al., 2011, Kanter and

Brinkerhoff, 1981, Carroll, 2000, Mitnick, 2000, Skilton and Purdy, 2016, Jankalova, 2016, Ibañez-Forés et al., 2020).

In general, the focus of CSP evaluation should not only be on outcomes produced *per se*, but on the whole process, including the definition of objectives and the assessment of social impacts and stakeholders. Wood (2010, p. 50) stated that:

> The production, monitoring, evaluation, compensation and rectification (or not) of social outcomes which are defined by the processes of corporate social responsiveness – the boundary-spanning (or bridging) processes by which the firm connects itself to information, stakeholders and issues. All these elements can be measured and evaluated: impacts and outcomes; processes; and the specific guidance offered by structural principles.

There are, however, differences in opinion about how evaluation processes should be considered. Salazar et al. (2011), for example, considered that CSP evaluation must be based on specific social objectives (i.e., defining precisely what to do and measure the outcome based on the objectives achieved), and should avoid restricted or pre-produced items that do not necessarily capture the realities for a specific organisation. In terms of legitimacy, Wood (2010) argued that only stakeholders involved in a relationship with the organisation should be entitled to evaluate social outcomes because they are the ones affected. The view that stakeholders are a legitimate part of CSP evaluation is probably one of the few areas in which scholars agree (Preetha and Vanniarajan, 2016, Phelan et al., 2017, Nóbrega and Cândido, 2015, Agudo Valiente et al., 2012, Clarkson, 1995).

And yet, although a consensus about the legitimacy of stakeholders' involvement does exist, there is no agreement regarding the definition of indicators to measure

CSP. Studies often vary about what should be considered, and scholars suggest different approaches, such as the quantitative use of indexes (For examples see: Jung and Kim, 2015, Pirsch et al., 2006, Chatterji and Levine, 2006, Brower and Mahajan, 2012, Griffin and Mahon, 1997, Hart et al., 2015, Richards et al., 2015); the analysis of website content used to gain a more qualitative view of CSP (Richards et al., 2015); or even a more immersive approach using ethnographic research to assess the effectiveness of social outcomes through the lived experiences of stakeholders (Billo, 2015, Ismail et al., 2015, Kulczycki and Koenigstorfer, 2016).

Looking at the variety of options available, one could assume that this variety might quickly become one of the obstacles preventing companies from adopting more assertive practices in their evaluation of CSP. Therefore, defining or developing an assessment process that can be systematically employed, and which can incorporate both qualitative and quantitative data analysis, has been one of the significant suggestions from CSP scholars (Koster et al., 2019, Ibañez-Forés et al., 2020).

One way to clarify how CSP evaluation might be better incorporated into organisations is an investigation of challenges to its adoption presented in the literature. The next subsections discuss the main issues posing challenges for the implementation of CSP evaluation in organisations.

2.7.1 Challenge for CSP Evaluation in Organisations

In the literature, CSP definitions are characterised by concepts that are difficult to materialise or to measure (Carroll, 1979, Wood, 1991b). For example, how

can one determine if a corporation has too much or too little CSR1? How should one assess if the CSR2 level is high or low? Such aspects are not easily quantified by metrics or numbers that can express the quality of performance in the social dimension (Wood, 2010). The question, in this case, should include not only what but how organisations act in the social dimension because the definition of a single metric is not something simple to achieve. Igalens and Gond (2005) referred to this problem as a fundamental quest for 'what is expected to be shown' and urged scholars to assess the overall social environment for organisations to define guidelines defining what they want to assess as their performance in the social dimension. In other words, if it is not clear what is to be evaluated, and if the aspects evaluated do not reflect what stakeholders expect from the organisation, there is no sense on defining a metric or indicator that does not reflect what is expected in the performance in the social dimension. Thus, before establishing any evaluation of work in the social dimension, it is crucial to understand actions promoted in terms of CSR1, CSR2 and social outcomes in the social context before attempting to build metrics and indicators that can represent CSP (Salazar et al., 2011, Salazar and Husted, 2008, Hassini et al., 2012). Approached in this way, problems caused by the subjectivity inherent to CSP concepts can be at least partially overcome, and more legitimacy added to the process (Chen and Delmas, 2011, Carvalho et al., 2017). Besides, a valid/useful and effective evaluation process relies on sound theoretical knowledge adopting, for example, statistical methods that can be replicated and understood by stakeholders (Marian et al., 2014, Mitchell et al., 2009, Aguinis and Glavas, 2012).

Looking at the indicators and metrics for measuring CSP, scholars have argued that they are not always fit for organisational social objectives. There is a range of different indexes related to CSP evaluation found in the literature, such as the Kinder-Lyndemberg-Domini Index (KLD) or the Korea Economic Justice Institute (KEJI). However, scholars often question if these indexes are used in the correct context, or if they really can measure what is expected to be evaluated (Paredes-Gazquez et al., 2016). Special attention is given to the applicability or limitations of specific metrics which do not consider both qualitative and quantitative approaches to evaluation, which leads to the provision of information that is not useful to the social context where they are used (Chang et al., 2012, Igalens and Gond, 2005). The misuse of indexes confirms the idea that if such indexes are not constructed or aligned with organisational and social realities, their use in evaluation processes is not adequate for promoting legitimate performance management practices (Aguinis, 2009, Aguinis, 2011, Aguinis et al., 2011).

The methodology used for collecting data is another critical factor in any evaluation process that will later reflect such indicators. The main concern is for the establishment of a methodology that can be used to collect data and construct social indicators according to the characteristics of the organisation (Wood, 2010). There are a variety of studies referring to different ways to evaluate CSP, including multi-criteria analysis, balanced scorecards, ethnographic investigation, multidimensional perspectives analysis, exploratory qualitative surveys, reputation indexes analysis, multivariate analysis, and even website content analysis. A list of articles referring to the use of these different evaluation methods is available in Table 2-11. This variety of methods used to evaluate CSP is, on the one hand,

positive because of its flexibility, but on the other hand, needs careful consideration to ensure that the critical aspects for stakeholders are included and monitored.

Table 2-13 Methodological approaches to CSP evaluation in the literature

Methodological approach	References
Multi-criteria analysis	Aravossis, Panayiotou & Tsousi (2006)
Balanced scored cards analysis	Avram & Avasilcai 2014; Preetha & Vanniarajan (2016)
Ethnographic investigation	Billo (2015); Ismail, Alias & Rasdi (2015); Kulczycki & Koenigstorfer (2016)
Multidimensional perspectives study	El Akremi et al. (2015)
Exploratory qualitative surveys	Erdiaw-Kwasie, Alam & Kabir (2017); Fray (2007); Tsuru et al. (1978); Waddock & Graves (1997)
Reputation indexes analysis	Jung & Kim (2015); Pirsch, Gupta & Grau (2006)
Multivariate analysis	Mitchell, May & McDonald (2009)
Website content analysis	Richards et al. (2015)

Finally, Wood (1991b, 2010) argued that an evaluation of CSP based on stakeholders' participation is a *sine qua non* condition. If social evaluations are performed without the participation of stakeholders, it will decouple any results obtained from the social reality (Gond and Crane, 2008, Lam and Yap, 2019), ultimately exposing a lack of objectivity in the performance assessment (Mitnick, 2000, Lozano et al., 2020). Even in cases where stakeholders are included in the process, it is vital to ensure that the sample of participants selected to evaluate performance is representative (Shahzad and Sharfman, 2015) and that the methods employed to analyse data are consistent with the results presented (for examples see Agle and Kelley, 2001, Tsuru et al., 1978, Geerts and Dooms, 2020, Fu et al., 2018).

The complexity of methodology development can become an impediment to the development of CSP management for certain businesses. This is the case when corporate resources are limited (Aguilera-Caracuel et al., 2014), and might help

explain why small businesses are not generally able to adhere to social performance management aims to the same level as larger organisations. In the case of a business with limited resources, CSP management might be considered a non-strategic option because there are other priorities to consider in the business's portfolio of actions, thus reducing the importance attributed to producing methods for assessing social performance (Valmohammadi, 2014). Providing awareness about this complexity and how it can affect organisations is one of the positive outcomes that can emerge from the investigation of the CSP evaluation process. The next section investigates what indicators are available and accessible nowadays to evaluate CSP.

2.7.2 Proposal of Indicators to Support CSP Evaluation

While reviewing the evolution of CSP measurement in social enterprises management, Arena et al. (2015) emphasised the broader inclusion of stakeholders in the process, as well as the use of their feedback to update indicators used in the process. Besides, process management should consider the systematic execution and review of actions by corporations. The role of higher-level management is vital to the success of the overall process (Arena et al., 2015). The systematic approach ensures that appropriate time and resources are secured to develop the process and show stakeholders that the organisation takes it as part of its portfolio of actions (Zhao et al., 2012).

The use of standards or indicators produced by organisations promoting the management of performance in the social dimension is often referred to in the literature (Schmiedeknecht, 2008, Valmohammadi, 2014, de Andrade and Bizzo, 2019, Koster et al., 2019). Scholars in studies employing social indicators adopt the

knowledge developed by international organisations such as the International Organization for Standardization (ISO), the Ethos Institute, International Finance Corporation (IFC) and the Global Reporting Initiative (GRI) to support their view about what would be useful in the CSP evaluation process. Although it might not be possible to adapt all indicators and processes to all businesses environments, the databases produced by these international organisations often present results which facilitate meaningful discussions about CSP evaluation (for examples see Toppinen and Korhonen, 2013, Chen et al., 2015).

It is worth examining at this point how these databases are structured. For example, the ISO 26000 Social Responsibility Guidelines (ISO, 2010) outlines the main issues for consideration and proposes seven (7) core subjects for analysis: human rights, labour practices, the environment, fair operating practices, consumer issues, and community involvement and development (see Table 2-12). However, ISO 26000 is not conclusive about how to evaluate these issues individually.

Another example of the specific ways measurement can be found in the SA8000 Social Responsibility norm, which has a focus on the development of indicators (both qualitative and quantitative) and employee well-being. The SA8000 qualitative approach includes the evaluation of the existence of processes linked to the monitoring of forced labour practices, adoption of health and safety practices, the existence of practices to ensure freedom for association with unions and representative classes, the existence of policies ensuring the elimination of discrimination, the use of fair disciplinary practices in the organisation, the adoption of fair working time control, the establishment of

equality wages policies, and the promotion of a management system with a systematic evaluation process. A more quantitative analysis process can be adopted by considering records obtained by management of variables relevant to the processes listed above (i.e., the number of H&S incidents reported).

This study employs a combination of information from these international datasets to verify how CSP evaluation might be developed. The international organisations serve as the primary reference because they are abundant in terms of examples, and they have a global reach into different industries. The dataset constructed from the different sources is used later in the study as a reference for investigating CSP incorporation. The identification of the indicators databases and the process for selecting metrics from them is explained below.

Table 2-14 ISO 26000 issues and subjects

Core subject	Issues
Organizational governance	Issue 1 : Decision-making processes and structure
Human rights	Issue 1 : Due diligence Issue 2 : Human rights risk situations Issue 3 : Avoidance of complicity Issue 4 : Resolving grievances Issue 5 : Discrimination and vulnerable groups Issue 6 : Civil and political rights Issue 7 : Economic, social and cultural rights Issue 8 : Fundamental principles and rights at work
Labour practices	Issue 1 : Employment and employment relationships Issue 2 : Conditions of work and social protection Issue 3 : Social dialogue Issue 4 : Health and safety at work Issue 5 : Human development and training in the workplace
The environment	Issue 1 : Prevention of pollution Issue 2 : Sustainable resource use Issue 3 : Climate change mitigation and adaptation Issue 4 : Protection of the environment, biodiversity and restoration of natural habitats
Fair operating practices	Issue 1 : Anti-corruption Issue 2 : Responsible political involvement Issue 3 : Fair competition Issue 4 : Promoting social responsibility in the value chain Issue 5 : Respect for property rights

Table 2-15 ISO 26000 issues and subjects (Cont.)

Core subject	Issues
Consumer issues	Issue 1 : Fair marketing, factual and unbiased information and fair contractual practices Issue 2 : Protecting consumers' health and safety Issue 3 : Sustainable consumption Issue 4 : Consumer service, support, and complaint and dispute resolution Issue 5 : Consumer data protection and privacy Issue 6 : Access to essential services Issue 7 : Education and awareness
Community involvement and development	Issue 1 : Community involvement Issue 2 : Education and culture Issue 3 : Employment creation and skills development Issue 4 : Technology development and access Issue 5 : Wealth and income creation Issue 6 : Health Issue 7 : Social investment

Source: ISO 26000 guidelines

2.7.3 The Selection of the Database

The compilation of CSP indicators uses databases available from the International Organisation for Standardisation (ISO) (ISO, 2010), the Series 400 of the Global Reporting Initiative (GRI) (Global Reporting Initiative, 2018), the Environmental and Social Standards developed by the World Bank Environmental and Social Framework (The World Bank, 2017), the SA8000:2014 Performance Indicator Annex (SAI, 2018), the International Finance Corporation Performance Standards (IFC-PS) (IFC, 2012), United Nations CSR Indicators (United Nations, 2008), and the social dimension of the Ethos institute indicators for sustainable and responsible businesses (Instituto Ethos, 2016).

These indicators were selected based on their previous use by studies investigating performance in the social dimension (Valmohammadi, 2014, Hahn, 2012, Vallentin, 2007, Sierra-Garcia et al., 2015, Toppinen and Korhonen, 2013, Vanclay et al., 2015, Duarte and Sanchez, 2020, Ibañez-Forés et al., 2020) and based on their

adoption by different organisations in different industries (Schütt et al., Duarte and Sanchez, 2020, Gerlak et al., 2020, Ibañez-Forés et al., 2020, Kohl, 2020, Mason and Ying, 2020, Para-González and Mascaraque-Ramírez, 2020, Smits et al., 2020, Yen-Chun Jim and Chih-Hung, 2020, Zhang et al., 2020).

2.7.4 The Construction of a CSP Indicators List

The construction of the list of indicators began with an examination of common dimensions explored in databases, which were verified to identify areas that should be evaluated when considering CSP. Compared to other databases, the ISO 26000 offered the most comprehensive number of topics, and the structure proposed in this standard was adopted to organise the areas of evaluation considered in the compilation. This study does, however, include an additional subject (Suppliers Management), based on Notteboom and Winkelmans (2003) study of stakeholders, which was used to ensure that third parties were included in the scope of CSP evaluation. This inclusion is important because suppliers are considered essential stakeholders in the CSP evaluation process. Although some of the databases covered aspects directly linked to suppliers (i.e., IFC Performance Standard 2, GRI-414 Supplier Social Assessment), the separation of suppliers into specific areas of analysis provides more visibility for this dimension of CSP.

The selection of indicators included consideration of the range of items proposed by the databases analysed. During this process, it became apparent that the indicators, although differing in nomenclature, were targeting the same area of analysis. An example of this similarity can be found when comparing the community health and safety ESS4 standard from the World Bank database and the

IFC Performance Standard 4 related to community health, safety and security. The redundancy included in this and other databases were reduced and then placed inside the previous structure defined by the core subjects. The series of norms included in the GRI – Norm 400 (Global Reporting Initiative, 2018) allowed for the accommodation of qualitative and quantitative metrics without excluding any areas of interest from the analysis. The subjects defined by the GRI - Norm 400 were adopted to define the list of indicators inside the dimensions defined by ISO 26000.

The metrics or the way indicators are measured, were gathered using details provided by the databases of the World Bank Environmental and Social Framework (The World Bank, 2017), Social Accountability International SA8000 (SAI 2018), GRI section 400 (Global Reporting Initiative 2018), International Finance Corporation Performance Standards (IFC, 2012), United Nations CSR Indicators (United Nations, 2008), and Ethos institute (Instituto Ethos, 2016). Each of the metrics presented in the different databases (including both qualitative and quantitative metrics) were included as part of the main subjects defined on the GRI - Norm 400. Duplicated metrics were merged, and special attention was given to the possibility of measuring results, both qualitatively and quantitatively.

Finally, each metric was explained in order to clarify the process of data collection related to its evaluation. In some cases, the metrics referred to pure numerical information (quantitative), while others also encompassed a qualitative approach (e.g., confirmation of a process existence). This was the most comprehensive part of the social indicators list because it included a range of suggestions for data collection and analysis according to the databases under examination. In this sense, the databases were used as a complementary source of information, adding

qualitative and quantitative details about ‘how’ to measure the performance of a specific item. The complementary use of different databases in one metric definition was especially useful when a metric was present in more than one database. Sometimes, the qualitative and the quantitative approached had different levels of details described in the different databases. When the difference of details was detected, both were considered to ensure that the mixed-methods approach was presented in the list of indicators. The inclusion of both qualitative and quantitative aspects follows Wood’s (2010) suggestion not to consider the numerical representation of metrics solely, but to consider also the processes of data collection and evaluation as part of the qualitative analysis of CSP evaluation.

The compilation of the databases in one single database is summarised in Appendix A and a summary of the indicators in their respective groups is presented in Table 2-13. The combined database serves as a reference for further investigation of CSP conducted in the context of ports, with additional empirical data obtained during data collection for this study. Although comprehensive in terms of items included here, future research could improve the proposal made at this stage or remove items that are not relevant to a particular study.

Table 2-16 Summary of indicators

Group Community	Group Environment	Group Governance
Level of Community Involvement	Pollution prevention	Efficient decision-making process
Promotion of Education and Culture	Sustainable use of resources	Transparency
Assurance of Employment and Wealth Creation	Promotion of climate change initiatives	Level of Social Policy Implementation
Improve Community Health and Safety	Protection of the environment	Stakeholders' Engagement
Attention to Sensitive Groups	Preparedness of response procedures	
Alignment Between Community and Corporate Security Forces		

Group Fair Operating Practices	Group Labour Practices	Group Consumer isues
Anti-Corruption Practices	Best Practices on Employment Management	Fair Marketing Practices
Responsible Political Involvement	Improvement of Work Conditions and Social Protection	Protection to Consumers' Health and Safety
Fair Competition Practices	Improvement of Work Conditions and Social Protection	Sustainable Consumption
Socially Responsible Supply Chain Practices	Promotion of Social Dialogue in the Organisation	Quality Promotion in Consumer's Service Support
Respect for Property Rights	Adoption of Health and Safety Practices	Consumer Data Protection and Privacy
Code of conduct	Human Development and Training	Promotion of Education and Awareness
	Promotion of Diversity	Report on consumers issues

Group Suppliers Management	Group Human Rights
Level of Alignment Between Supplier's and Organisation's Social Policies.	Performance in Due Diligence Process
Social Process Assessments	Promotion of Staff Development concerning Human Rights
Level of Local Purchasing	Performance of the Communication Process
Level of Suppliers' Development of Social Management System	Improvement o Suppliers Management in the Topic Human Rights
Level of Fair Management Practices for Contract Management	

2.8 Summary

This chapter demonstrates that CSP is a complex subject that needs to be understood in the context of responsibility principles, responsiveness processes, and social outcomes production. Besides, a range of different factors related to these three elements can have an influence on organisations and societies, including cultural and educational background, geographic location, and other social aspects. All these aspects need to be covered by any Social Impact Assessment (SIA) in organisations that attempt to engage in CSP management.

Moreover, resources for social outcomes production are finite and therefore need to be clearly prioritised inside organisations. It is necessary to develop knowledge concerning stakeholders' profiles and the social impacts related to them to ensure programs and policies elaborated by organisations can address claims presented by different stakeholder groups.

The evaluation of CSP, including the elaboration of indicators and methods to measure them, still requires the further development of approaches for use in specific cases and\or industries. Despite the engagement of international entities supporting the development of social indicators, the application of such indicators needs to consider the characteristics that define what really matters for each industry in the social dimension. There is consensus between scholars that stakeholders should be providing scores for the indicators produced, and that their participation in the process is integral to the legitimacy of any evaluation produced.

Overall, there are in the literature different sources that provide examples of the possible CSP indicators adopted by scholars and practitioners. Although they vary

in terms of description of metrics and the approach adopted (i.e., quantitative or qualitative) a combination of different databases emerged as a comprehensive list of indicators that will later be used in this study.

Chapter 3: Corporate Social Performance of Ports

3.1 Introduction

To investigate the incorporation of CSP into port management, this chapter reviews the literature relating to the main elements of CSP described in the previous chapter (i.e., responsibilities principles, responsiveness processes, and outcomes of social behaviour). It summarises how CSP is conceptualised in the literature concerning port management and uses the CSP concept analysis performed in Chapter 2 as a base for investigation in the context of port management.

Firstly, this literature review contextualises CSP in the port industry by looking at how scholars have conceptualised performance management in ports. The chapter then examines the social responsibilities of ports, with a focus on the analysis of social roles. Thirdly, looking at Corporate Social Responsiveness processes (CSR2) in the CSP context, this chapter dives deep and examines the social issues/impacts caused by port activities, particularly in relation to the importance of stakeholder relationship management. The indicators commonly linked to social performance in ports literature are then identified/examined, including indicators with direct social appeal as well as those with broader approach (i.e., socio-economic, socio-environmental) done based on sustainability dimension.

Finally, this chapter examines research gaps apparent in the literature and uses them to propose a conceptual framework for this study. The research framework supports the research methodology designed to collect empirical data which can

be used to answer the research questions discussed more in detail in chapter 4. The next section discusses how scholars have discussed CSP in the context of ports.

3.2 Social Performance in the Context of Ports

Studies in seaport performance have examined a range of subjects over time, including operational performances (Williamson and Daunt, 1984, Zografos and Martinez, 1990, Tongzon, 1995, Fioresi de Sousa et al., 2020) and financial performances (Dasgupta and Ghosh, 2000, Saundry and Turnbull, 1997, Caliskan and Esmer, 2019), which has resulted in a relative abundance of literature concerning these topics (Lim et al., 2019). However, with the focus of industry moving towards a more sustainable performance approach, the environmental and social dimensions in port performance have increasingly drawn scholars' attention (Zhao et al., 2020, Dinwoodie et al., 2012, Acciaro et al., 2014, Roos and Kliemann Neto, 2017, Braga and Veloso-Gomes, 2020, Castellano et al., 2020).

Both environmental and social dimensions of performance in ports have gained more importance over time, with a range of scholars discussing topics such as the organisational social participation of ports (Scheuring et al., 2017, Klimek et al., 2020, Sislian et al., 2016); relationships with stakeholders (Notteboom and Winkelmans, 2003, Cheon, 2017, Lozano et al., 2020); socio-economic effects of port activities (Santos et al., 2017, Dooms et al., 2015) and improving how CSP is conceived and approached in the port performance context (Le et al., 2014, Lim et al., 2019). This expansion in focus demonstrates increasing interest over time in stepping beyond the traditional performance approach, to embrace a more comprehensive approach to sustainability practices.

However, increasing scholarly interest has not necessarily equated to increased CSP adoption, and literature related to performance management in the social dimension repeatedly and consistently describes the challenges presented to organisations in the port industry in this regard. One of the main questions raised in the literature is what approaches might be used to assess social performance specifically in the port industry (Scheuring et al., 2017, Duru et al., 2017, Ha et al., 2017). Of particular focus in the literature, which seems unsurprising given the significant influence ports can have on regional development (Dinwoodie et al., 2012), is the continuing search for indicators that can be used to assess how ports perform when managing the social impacts of their development and operation (Chang, 2012). Some studies use, for example, analyses of the corporate actions to manage tensions created by the social impacts of ports, proposing to evaluate these actions as a proxy for social performance (Roh et al., 2016, Lirn et al., 2013, Cheon, 2017, Galvao et al., 2016).

Notwithstanding existing challenges for business management, a range of scholars argue that more attention is given to the development of performance management across the social dimension (Ha et al., 2017, Duru et al., 2017, Geurs et al., 2009, Holmstedt et al., 2017, Markovich and Lucas, 2011). Some scholars propose much more significant investment in the training and education of leaders in ports, providing a more holistic approach to performance management and seeking to ensure preparedness for the development of the CSP in ports (Lirn, Wu & Chen 2013).

It becomes necessary, then, to understand why, despite repeated calls as presented in the previous paragraphs to develop models for studying CSP, these concepts remain under-developed in ports. When compared with other industries like forestry

and mining, there is a conspicuous absence of studies directly referencing social performance or referring to a CSP framework in the ports sector – a claim which is based here on searches through different academic sources (i.e., Google Scholar), as well as on peer-reviewed studies which had previously found no articles at all related to the social dimension of performance in ports such as Lim et al. (2019). This apparent gap in the literature is considered one of the most crucial aspects of the investigation of CSP in ports in this study.

Despite the lack of research literature specific to CSP in ports, existing literature related to sustainability research can be of great use to those trying to promote CSP development in ports. Useful insights can be gained from studies which examine aspects of innovation linked to CSR1 adoption (Vanelslander, 2016, Acciaro, 2015), and from those examining interactions between ports and stakeholders, including the way ports assess the social impacts for different stakeholder groups (Messner et al., 2016, Aerts et al., 2015, Lam and Yap, 2019, Dooms, 2019, Ha et al., 2017, Notteboom and Winkelmans, 2003, Geerts and Dooms, 2020, Lozano et al., 2020). Other studies can also be useful for their indirect approach to social performance indicators development (de Langen et al., 2007, Ha et al., 2017, Tongzon, 1995, Vanelslander, 2016, Zografos and Martinez, 1990, Lim et al., 2019) Overall, the joint analyses of the above different subjects can be useful for examining CSP in ports.

As discussed in Chapter 2, Wood (2010) suggested exploring fundamental aspects of CSP in cases where CSP incorporation remains under-developed. Such exploration should start by clarifying how CSP is conceptualised within a given industry, to ensure that the CSR1, CSR2 and the social outcomes produced accord

with the aims and characteristics of the business. Based on the lack of studies into the CSP of ports, and calls for more development of the concept (Lim et al., 2019), Wood's (2010) suggestion is followed in this study to describe how CSP is incorporated within port management at a conceptual level. The following subsections examine more closely the three aspects (i.e.,CSR1, CSR2 and social outcomes) of CSP described by Wood (1991).

3.3 Corporate Social Responsibility (CSR_1) in Ports

This section uses the three levels described by Wood (1991) to frame the literature concerning CSR1 in ports across institutional, organisational, and individual levels. Using Wood's model aligns this study with a range of previous studies and established theories/frameworks which have similarly examined ports' social responsibilities in terms of Wood's three dimensions, as shown in Table 3-1.

For example, studies into the role of ports as an essential link in supply chains have examined ports' social responsibilities at an institutional level (Goss, 1990, Van der Lugt et al., 2007, Sakalayen et al., 2017, Klimek et al., 2020). Attention is also on how ports' need to be responsible and comply with regulations requirements to adopt CSR1 (Acciaro et al., 2014, Notteboom et al., 2020, Braga and Veloso-Gomes, 2020), the need to adopt CSR1 as part of the industry responsibilities sustainable goals (Laxe et al., 2017, Lirn et al., 2013) and the need to ensure that ports' CSR1 is legitimised based on their stakeholders' perceptions of the industry (Notteboom and Winkelmans, 2003, Dooms, 2019). Another aspect of CSR1 prominent in the literature is climate change, and the responsibility of ports to work proactively to minimise the impacts created by it in the life of different stakeholders (Messner et al., 2016, Bergqvist and Monios, 2019).

At the organisational level, or the local level defined by Wood (1991), ports have responsibilities such as the responsibility to integrate social and environmental issues according to the characteristics of the local natural environment (Pawlik et al., 2012, Kotowska et al., 2020), the responsibility to ensure that cities around the ports benefit from the economic development that the port enjoys (Notteboom and Rodrigue, 2007, Chen et al., 2020, Cong et al., 2020, Bottasso et al., 2013), as well as the responsibility to address externalities caused by ports' activities in their region (Gómez, 2015, Goss, 1990, Nebot Gómez de Salazar and Rosa-Jiménez, 2020). Organisationally, it is argued, ports' management also has a responsibility to consider efficiency concerning the pricing and subsidising schemes which allow fair competition between businesses (Santos et al., 2017, Van den Berghe and Daamen, 2020), to consider the management of stakeholders as a core activity of their business (Dooms, 2019), and the responsibility to address tensions that arise when businesses and stakeholders have conflicting objectives (Cheon, 2017).

The last level of CSR1 defined by Wood (1991) relates to the individual acceptance of corporate responsibilities by members of organisations. In ports literature, there is a focus on the need to develop managers knowledge about their responsibilities in the social dimension, to meet increasing challenges in the social dimension (Lirn et al., 2013, de Langen, 2020), to build awareness of how manager's personal beliefs can influence their decision-making (Santos et al., 2016, Roh et al., 2016, Le et al., 2014, Lozano et al., 2020), and to help port managers engage in constructive communications with all stakeholders (Aerts et al., 2015, Cheon, 2017, Dooms et al., 2004, Notteboom and Winkelmans, 2003).

Table 3-1 Levels of CSR1 in ports' literature

Corporate Social Responsibilities of ports	References
Institutional responsibility: ports as an industry must define CSR1 based on the nature of their activities.	Goss, 1990, Van der Lugt et al., 2007, Sakalayen et al., 2017, Klimek et al., 2020
Institutional responsibility: ports must comply with regulations.	Acciaro et al., 2014, Notteboom et al., 2020, Braga and Veloso-Gomes, 2020
Institutional responsibility: ports must adopt sustainability objectives.	Laxe et al., 2017, Lirn et al., 2013
Institutional responsibility: ports must be legitimised by society to avoid risks in the long run.	Notteboom and Winkelmans, 2003, Dooms, 2019
Institutional responsibility: ports should feel responsible for mitigating climate changes.	Messner et al., 2016, Bergqvist and Monios, 2019
Organisational responsibility: ports should accept their responsibility for the development of the region.	Notteboom and Rodrigue, 2007, Chen et al., 2020, Cong et al., 2020, Bottasso et al., 2013
Organisational responsibility: ports must integrate social and environmental objectives based on their operational and regional characteristics.	Pawlik et al. (2012), Kotowska et al., (2020)
Organisational responsibility: Ports should be responsible for solving the externalities caused in their neighbourhoods.	Gómez (2015), Goss (1990), Nebot Gómez de Salazar and Rosa-Jiménez (2020)
Organisational responsibility: ports are responsible for the creation of an efficient economic environment.	Van den Berghe and Daamen, (2020), Santos (2017)
Organisational responsibility: ports are responsible for the positive relationship with local stakeholders	(Dooms, 2019)
Organisational responsibility: ports should balance expectations and mitigate tensions with stakeholders.	Cheon (2017)
Individual responsibilities: managers in ports should be responsible for constructive communication with stakeholders.	Aerts et al., 2015, Cheon, 2017, Dooms et al., 2004, Notteboom and Winkelmans, 2003)
Individual responsibilities: managers in ports should recognise how their personal beliefs influence in the definitions of the CSR1 of organisations.	Santos et al., 2016, Roh et al., 2016, Le et al., 2014, Lozano et al., 2020)
Individual responsibilities: managers in ports should be better prepared to deal with the social dimension in ports management.	Lirn et al., 2013, de Langen, 2020)

Although comprehensively discussed in port literature, CSR1 has not been contextualised in terms of CSP management. The meaning of CSR1 in Wood's (1991) CSP definition links an organisation's social responsibilities to the selection and definition of goals that guide performance evaluations. Therefore, although

previous studies have discussed the responsibilities of ports at institutional, organisational and individual levels, studies examining how these responsibilities are translated into corporate social objectives could not be found in ports literature.

To understand how CSR1 can influence the definition of goals for ports in the social dimension, the next section examines which social roles are defined for the sector in the literature. This is done to verify how the social roles of ports are described in the literature and to identify what may be added to the exploration of CSP incorporation in ports.

3.4 Social Roles of Ports

The interface position between sea and landside gives ports specific business characteristics which can shape their roles in the social dimension (Olivier and Slack, 2016, Lee et al., 2016, Klimek et al., 2020). For example, geographical factors impact the occupation of land, the natural environment or the economic activities of the region, which can have an impact on communities, fishery businesses and other groups living in the region (Jung, 2011, Andrade and Costa, 2020). Therefore, it is the role of the port representatives to manage impacts caused by their operations, especially those linked to the specific characteristics of the region where they are located.

Moreover, being a significant infrastructure asset with the power to shape economic, environmental and social aspects of a region, ports must play a role planning and supporting social and sustainable development in their region (Sakalayen et al., 2017, Nogué-Algueró, 2020). Some scholars argue, for example, that planning perspectives should include aspects such as the social-economic developer role, so that economic benefits created to the organisation can be translated into benefits for

society. Overall, the discussion of the social roles of ports with a more focus on the social dimension only needs better development in the literature. Traditionally, ports were considered economic enablers, for wealth generation and employment creation (Goss, 1990, Van der Lugt et al., 2007, Van der Lugt, 2017, Marner and Klumpp, 2020), and are often credited with good social performance if the port can provide economic improvement for stakeholders (Lim et al., 2019). However, some scholars, such as Musso et al. (2000) and Martin-Soberon et al. (2014) have discussed that the validity of using employment or other economic indicators as a proxy for good performance has decreased over time as more operations have become automatised and fewer people employed.

From another operational perspective, connecting information, trade and people's needs, ports can be seen as having a social role in connecting global markets and enabling products and services to reach regions where other transportation modals would not be able to do (Le et al., 2014, Notteboom and Winkelmans, 2003, Chen et al., 2020). In this sense, some scholars argue that if port functions efficiently, positive social impacts can be perceived by stakeholders (Mangan and Cunningham, 2008, Le et al., 2014, Castellano et al., 2020) with these benefits spreading far beyond the location of the port (Rodrigue et al., 2013, Panayides and Song, 2009, Chen et al., 2012, Schubert, 2020).

Another essential social role linked to port characteristics is the capacity to create an environment for collaboration and innovation for their regions and stakeholders (Notteboom and Winkelmans, 2003, de Castro, 2000, Vanelslander, 2016, Paixão and Bernard Marlow, 2003, Acciaro et al., 2020) which can contribute, for example, to the technological development of their region. For Bichou (2009), this

operational and economic aspect of ports' performance can provide socio-economic wealth to the region they serve, especially when a value is added with services and products along the supply chain connected to them (Santos et al., 2017). However, caution is needed when considering social roles from economic and operational perspectives. Gripaios and Gripaios (1995) (cited by Dooms et al., 2015 p. 461) suggested that changes in technology and global trade axis must be taken into account to ensure that social roles are sustained in the long-term.

The literature adds more about the social roles of ports by including the reference about their role in regional development (Sakalayen et al., 2016, Sakalayen et al., 2017, Chen et al., 2012, Wang and Ducruet, 2012, Terenteva et al., 2016, Bottasso et al., 2014, Ferrari et al.), with Musso et al. (2000, p. 2) providing an example of how ports can 'rise the welfare of citizens, enhancing social welfare in terms of income, employment, living environment, security and other aspects (macro-economic or social dimension)'. The view of the ports as a social developer includes different phases of port development. For example, during the construction phase of ports, jobs are created due to demand for a workforce, but this can mean high levels of migration, placing pressure on communities in terms of housing, educational or health support infrastructure. These aspects might also continue during the operational phase, or new ones can arise when the ports leave the project phase and start to operate. Therefore, it is part of the social role of ports to ensure that negative impacts (e.g., overpopulation) are avoided for the sake of regional development objectives (Song and van Geenhuizen, 2014).

It is also a social role of ports to work towards attracting investments, to improve the competitiveness of cities around them (Schubert, 2020, Kotowska et al., 2020),

and to support social development through the transference of knowledge (Merk et al.). Ports also have a social role as leaders, guiding society through difficult times (Cheon, 2017, Zhang et al., 2019), especially when tensions with stakeholders arise. As part of their leadership role, ports should be responsible for the development of their managerial expertise, to ensure that they can handle issues related to the social environment where they are located (Aerts et al., 2015, de Langen, 2020).

Another social role of ports identified in the literature is as a guardian of cultural heritage for a region (Gómez, 2015, Andrade and Costa, 2020), responsible for the care of stakeholders that interact with them (Notteboom and Winkelmans, 2003, Barnes and Rosello, 2020). This sense of care can be translated into actions, for example, to protect coastal regions (EPA, 2017) or to help prevent unwanted activities such as drugs and weapons smuggling (Oliveira et al., 2016, Kopela, 2020). One well-known example is the implementation of the International Ship and Port Security Code (ISPS Code), focused on the security of vessels, goods, people and countries (Yeo et al., 2013).

The way the literature approaches the social roles of ports is summarised in Table 3-2.

Table 3-2 Summary of the social roles of ports from literature

	The social role	References
Regional Developer	Care about regional development and the impact created on stakeholders.	Olivier and Slack, (2016), Lee et al., (2016), Klimek et al., (2020), Jung, (2011), Andrade and Costa, (2020)
	Consider the impact of the sustainability performance approach in the development of the region	Sakalayen et al., (2017, Nogué-Algueró, (2020)

Table 3-3 Summary of the social roles of ports from literature (Cont.)

	The social role	References
Regional Developer	Spread benefits of its operational functions beyond the area close to the ports	Rodrigue et al. (2013), Panayides and Song (2009), Chen et al. (2012), Schubert (2020)
	Promote a collaborative and innovative environment	Notteboom and Winkelmans (2003), de Castro (2000), Vanelslander (2016), Paixão and Bernard Marlow (2003), Acciaro et al. (2020)
	Transfer knowledge	Merk et al. (2012)
	Overall regional development	Sakalayen et al. (2016), Sakalayen et al. (2017), Chen et al. (2012), Wang and Ducruet (2012), Terenteva et al. (2016), Bottasso et al. (2014), Ferrari et al. (2012)
	Mitigate negative social impacts	Song and van Geenhuizen (2014)
Economic Enabler	Socio-economic role related to job creation	Goss (1990), Van der Lugt et al. (2007), Marner and Klumpp (2020), Lim et al. (2019), Musso et al. (2000) and Martín-Soberón et al. (2014)
	Create wealth for the region	Bichou (2009)
Supply Chain Connector	Serve as a connection point for regions around the globe	Le et al. (2014), Notteboom and Winkelmans (2003) Chen et al. (2020)
	Strive to become an efficient functional organisation	Mangan and Cunningham (2008), Le et al. (2014), Castellano et al. (2020)
	Contribute to different supply chains development	Santos et al. (2017)
	Contribute to different supply chains development	Santos et al. (2017)
Corporate Citizenship	Adopt a leadership position concerning social development	Cheon (2017), Zhang et al. (2019)
	Develop managers to act in the social dimension	Aerts et al. (2015), de Langen, (2020)
	Preserve the cultural heritage	Gómez (2015), Andrade and Costa (2020)
	Support the security of the coastal region	EPA (2017), Oliveira et al. (2016), Kopela (2020), Yeo et al. (2013)

Overall, a review of the literature shows that although scholars have discussed ports roles from a range of different perspectives, studies that specifically discuss the roles ports in the social dimension are scarce. However, the different views available help guide this study's examination of the social roles of ports, including the analysis of how social roles are understood in the context of CSP incorporation. Moreover, the broader range of ports' roles offers an opportunity to support the investigation about the rationale of managers who incorporate social roles into their businesses management. Understanding the social roles is the first move to comprehend the connection between the social actions taken by ports and the social outcomes produced by organisations in this sector (Wood, 1991). In the next section, aspects related to CSR2 processes in ports are presented in light of the available literature.

3.5 Corporate Social Responsiveness (CSR2) in Ports

The extant literature offers evidence of the adoption of CSR2 by ports, revealing that CSR2 adoption often occurs based on the impositions of relevant authorities (e.g., to release licences) (Braga and Veloso-Gomes, 2020, Pereira et al., 2019), with the main licence requirements designed to minimise the negative impacts of operations on stakeholders (Lirn et al., 2013, Le et al., 2014). However, there are also examples where CSR2 processes have been established in ports based on self-initiatives (Darbra et al., 2004), including the development of innovative practices for assessing the business environment and the social context where these ports operate (Acciaro et al., 2014, Vanelslander, 2016).

But whether compulsory or voluntary, scholars argue that CSR2 knowledge needs to be continuously updated, regardless of the motivations for its adoption, so that,

port representatives can use this knowledge to maximise benefits and minimise negative social impacts for stakeholders, including those linked to the port's supply chain (Markovich and Lucas, 2011). In some cases, CSR2 adoption becomes part of corporate sustainability goals to ensure that the organisation takes its management of the social dimension seriously (Dooms, 2019, Voyer and van Leeuwen, 2019, Hossain et al., 2019).

From a review of the literature, Table 3-3 presents a summary of reasons leading to CSR2 processes adoption in ports, including processes of CSR2 enforced by the government (Braga and Veloso-Gomes, 2020, Pereira et al., 2019), as well as summarising the influence of different stakeholders pressuring organisations to mitigate negative social impacts (Lirn et al., 2013, Le et al., 2014). Ashrafi et al. (2020) argued that one of the main reasons for the adoption of CSR2 processes is the significant influence of stakeholders when ports are seeking social legitimacy and a social license to operate. Ports also adopt CSR2 processes based on characteristics of their operational configuration (e.g., type of cargo and the impacts produced by its handling) (Darbra et al., 2004), on the need to adapt to a specific business environment (Acciaro et al. 2014, Vanelslander 2016), and based on the need to maximise the benefits of social dimension management, for both organisations and stakeholders (Markovich and Lucas, 2011). Some scholars have found that CSR2 is also adopted when organisations aim to incorporate sustainability practices into their strategic development (Dooms, 2019, Voyer and van Leeuwen, 2019; Hossain et al. 2019).

Table 3-4 Reasons why ports adopt CSR2

Drivers guiding CSR2 adoption	References
Compliance with regulations	Braga and Veloso-Gomes, (2020), Pereira et al. (2019)
Pressure from stakeholders	Lirn et al. (2013), Le et al., (2014)
Social legitimacy and social licence to operate	Ashrafi et al. (2020)
Self-initiative	Darbra et al. (2004)
Assessment of the business environment	Acciaro et al. (2014), Vanelslander (2016)
Maximise benefits for the organisation and stakeholders	Markovich and Lucas (2011)
Promote sustainability goals inside organisations	Dooms (2019), Voyer and van Leeuwen (2019), Hossain et al. (2019)

The management of relationships with stakeholders and the assessment of social impacts are the two primary drivers of CSR2 adoption identified in the literature on ports (Ashrafi et al., 2020). The following sections examine the literature on these two topics in more depth.

3.5.1 Stakeholder Management in Ports

Dooms et al. (2004, p. 9) defined ports' stakeholders as 'any individual or group of individuals that can influence or are influenced by the achievement of the ports' objectives'. In port literature, scholars recognise that the term 'organisational objectives' must go beyond the economic/operational concept (Notteboom and Winkelmans, 2003) and adopt a broader approach to the development of CSR2 which is linked to sustainable practices. The focus of this approach is on the demands made by stakeholders in the social dimension, and on the development of processes by ports based on a multi-perspective approach informed by different points of view (Ashrafi et al., 2020). A critical aspect of a multi-perspective view on stakeholders is the need to understand in detail who the different stakeholder groups are and how their main characteristics can affect CSR2 adoption in ports.

The literature in ports categorises stakeholders in different ways, including differentiation between internal and external stakeholders. Notteboom and Winkelmans (2003) defined internal stakeholders in ports as shareholders, managers, employees and board members, and defined external stakeholders as service users, service providers, economic partners and community members\groups. Although a list of port stakeholders was included in Notteboom and Winkelmans' (2003) work, Messner et al. (2016) emphasised more importance on some stakeholder groups such as stevedoring companies, shipping agencies, insurers, ship repairers, port tenants, government agencies (transport, economic and environmental affairs) and academics.

Figure 3-1 is adapted from Notteboom and Winkelmans (2003) and represents the division between internal and external stakeholders, depicting the area of influence for each group (seaside, port area, hinterland side). The information in Figure 3-1 can be useful to design necessary managerial tools, such as stakeholder maps or risk analysis charts. With accurate information about stakeholders' characteristics, managers are better placed to identify active groups in their region and develop strategies for relating with specific stakeholders (Messner et al., 2016, Lam and Yap, 2019, Dooms, 2019).

Santos et al. (2017) pointed out that stakeholders' behaviours towards port organisations can differ depending on the characteristics of their local environment. Consequently, some stakeholder groups may be more salient/assertive than others and may exert different levels of influence in different moments of a port's existence. For example, community members can have more voice during the construction phase because the company depends on local infrastructure to erect the

port. In contrast, during the later operational phase, service providers (e.g., tugboat service providers) can have more influence as the port becomes more dependent on the services they offer (e.g., monopoly model) (Le et al., 2014). Consequently, port organisations should expect to receive different levels of pressure at different moments in their existence, depending on the influence power and the expectations of each stakeholders' group (Dooms et al., 2004, Geerts and Dooms, 2020, Lam and Yap, 2019). Overall, regardless of the salience of power to influence, different groups only benefit if the port maintains its sustainable operation, considering economic, environmental, and social aspects (Messner et al., 2016).

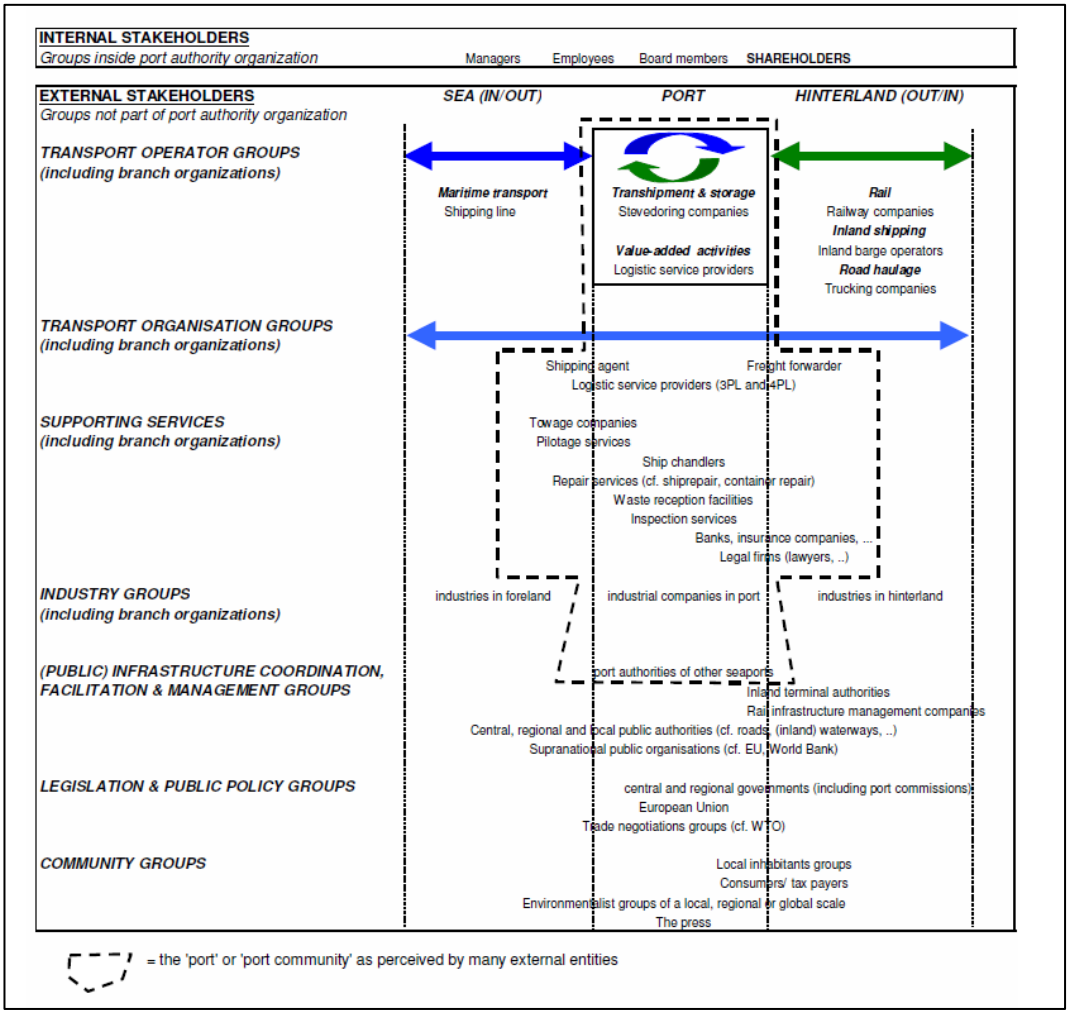

Figure 3-1 Categorisation of stakeholders
Source: Notteboom and Winkelmans (2003, p. 3)

The only time the management of stakeholders departs from the principles presented above is in cases where port activities are completely unwanted in the region. Such cases demand an even higher level of attention to the development of relationships with stakeholders (Verhoeven, 2010). However, the inclusion of different groups in decision-making processes of the social dimension, even if they are in opposition to the port, can offer an excellent opportunity to foresee potential risks for the organisation (Lirn et al., 2013).

In the context of this study, the assessment and classification of stakeholders are vital for exploring the incorporation of CSP in ports (Wood and Jones, 1995). The analysis of stakeholders' characteristics is essential to identify, for example, the bargaining power of different groups, their influence on the development of a strategic plan, or the definition of metrics and indicators useful for the evaluation of CSP (Notteboom and Winkelmans, 2003, Cheon, 2017, Messner et al., 2016). Moreover, the categorisation of stakeholders is important because organisations are limited in resources, and it is unlikely that managers will be able to attend to all groups at the same time. It becomes necessary, therefore, to prioritise different groups based on how they can affect port strategies at different stages of the organisation's existence (Notteboom and Winkelmans, 2003, Lozano et al., 2020). Scholars emphasise the need for a systematic assessment of stakeholder groups to make sure that ports are up to date about circumstances that can change and affect their operations (Aerts et al., 2015, Dooms, 2019).

Overall, the importance of stakeholders in the development of CSR2 in ports is present throughout the literature. Scholars in different contexts have confirmed the

importance of stakeholder management for business (Lam and Yap, 2019, Ha et al., 2017, Cheon, 2017, Messner et al., 2016). Moreover, scholars also argue for the need to develop governance processes that provide a base for the management of different stakeholders' groups (Ha et al., 2017, Notteboom and Winkelmans, 2003, Zhang et al., 2019), and urge for the inclusion of different groups in the creation of processes in the social dimension. Based on the way ports develop processes in CSR2, scholars suggest the possibility of developing a performance evaluation process to assess if actions adopted by a port achieve desired objectives in the social dimension (Dooms, 2019, Ha et al., 2017, Duru et al., 2020, Dooms et al., 2019a, Lim et al., 2019).

The next section focuses on another aspect arising from stakeholder management and CSR2. The discussion focuses on how scholars in the port literature depict the management of social impacts on stakeholders.

3.5.2 Social Impacts of Ports

In terms of sustainability, the analysis of social impacts created by ports is seen as essential for promoting performance in the social dimension to the same level of importance as performance across economic and environmental dimensions (de Langen et al., 2007, Ha et al., 2017, Lim et al., 2019). This means that social impacts (sometimes referred to as social issues when those impacts are negative) must be included as part of strategic business discussions (Haezendonck et al., 2006, Schrobback and Meath, 2020), and, moreover, the benefits of their management should be considered beyond a merely economic perspective (Vanelslander, 2016, Fobbe et al., 2018).

Still, although social impacts management for CSP is essential, evaluating ports' performance and managing negative social impacts presents many challenges, especially those related to what counts in the social dimension and how to evaluate the results of actions in the social dimension (Geurs et al., 2009, Markovich and Lucas, 2011, Lozano et al., 2020). To overcome these challenges, it is crucial to ensure social impacts correct identification and to identify practical assessments that can evaluate how effectively organisations are managing their actions in the social dimension (Santos et al., 2016, Vanelslander, 2016, Markovich and Lucas, 2011, Geurs et al., 2009, Duru et al., 2020, Laxe et al., 2017, Duru et al., 2017).

Also, changes in the technological context push ports to a better approach towards social impacts management. Over time, significant changes in access to business information through the internet and social media have made the social impacts of businesses more visible to stakeholders. Ports are no exception in this regard, and as stakeholders' awareness has increased, more pressure has been exerted for ports to address social impacts adequately (Santos et al., 2016, Lozano et al., 2020, Nebot Gómez de Salazar and Rosa-Jiménez, 2020, Acciaro et al., 2020). For example, it is more common nowadays that cases involving severe incidents gain worldwide attention using social media, especially when such incidents involve heavy pollution or the destruction of natural sanctuaries. Consequently, scholars have suggested more attention be given to changing the governance processes used by ports to monitor and respond to social impacts (Schrobback and Meath, 2020), and the systematic reporting of assessments and mitigation of social impacts on stakeholders (Geerts and Dooms, 2020). Higher levels of social awareness have forced managers to consider possible social impacts when developing business

strategies/plans carefully and also when making day-to-day tactical decisions. For these managers, the main concern is that the expanding reach of information in the digital age can trigger a chain of events which may transform small issues into catastrophic outcomes for businesses. To minimise the risk of exposure to such events, ports must be proactive, showing that they feel accountable for their social responsibilities rather than acting only after something serious occurs (Goss, 1990, Gómez, 2015, Dooms et al., 2004, Ashrafi et al., 2020).

Ports literature offers different meaning and examples of social impacts. Geurs et al. (2009, p. 71) defined the social impacts of transport enterprises, including ports, as:

> Changes in transport sources that (might) positively or negatively influence the preferences, well-being, behaviour or perception of individuals, groups, social categories and society in general (in the future).

In addition to the social impacts caused by the transportation role of ports, other negative examples of social impacts that become social issues include problems that originate in disputes about land use (Notteboom and Winkelmans, 2003); the increase of diseases caused by pollution (e.g., noise and sewage treatment) (Lirn et al., 2013); and, mental and physical stress caused by traffic problems (e.g., congestion, road accidents and pollution) (Acciaro et al., 2014, Zhao et al., 2017).

Organisations in ports must recognise that social impacts can have cumulative adverse effects, which can pose significant risks in an emergency or catastrophic scenario where management of the situation runs out of control (Markovich and Lucas (2011). To avoid such situations, managers must carefully consider potential

social impacts and their ramifications, including the extrapolation of worst-case scenarios to help prevent the underestimation or misinterpretation of those impacts and ramifications (Hall and Jacobs, 2012). Regardless of the level to which the response to worst-case scenario actions are adopted in the real world, there is consensus in the literature about the need to identify potential issues in the social dimension so that they can be adequately managed (Carpenter and Lozano, 2020).

The port literature shows that the social impacts can be perceived far beyond their local region although local perception, and consequently reactions, tend to be more intense (Zhao et al., 2017, Notteboom and Rodrigue, 2007). Table 3-4 presents a summary of impacts that can have effects on local stakeholders including but not limited to land use problems, environmental problems, loss of cultural patrimony, pollution, forced relocation and others.

A review of port literature reveals that social impacts have been studied and discussed in different ways, but rarely linked to the management of performance in the social dimension. Some scholars highlighted the importance of investing more time developing social issues' assessments to improve the understanding of ports negative social impacts and allow organisations to react according to what stakeholders expect (Ha et al., 2017, Dooms et al., 2004, Aerts et al., 2015). The assessment includes the need for processes identifying and quantifying risks associated with social impacts to prepare the organisation more strategically (Dooms et al., 2004, Mottee et al., 2020). The next section discusses the social impacts' assessment processes in light of the literature.

Table 3-5 Negative social issues related to the ports in literature

Social impacts from ports	References
Pressure on land use by business and society.	Notteboom and Winkelmans (2003)
Environmental problems and pollution, noise and sewage treatment as a source of the increase of diseases in people directly or indirectly related to the port activities.	Lirn et al. (2013)
The disturbance caused by congestion, road accidents and pollution together with all the social consequences related to these issues.	Acciaro et al. (2014), (Zhao et al., 2017)
The loss of patrimony, lack of popular participation in the decision-making process, the increased cost to maintain cultural heritage and the loss of life quality by residents.	Gómez (2015) , Andrade and Costa (2020)
Hinterland benefit and local externalities (pollution, traffic congestion, increase of crime, reduction of urban competitively and investment attraction)	Zhao et al. (2017), Notteboom and Rodrigue (2005)
Unemployment caused by the substitution of the human workforce by technological changes.	Gripaios and Gripaios (1995), Bottasso et al. (2013)
Visual quality impoverishment, historical/cultural resources damage, Severance/social cohesion disruption, Noise nuisance, Barriers and diversions, Uncertainty of construction, Forced relocation, Bad use of space, Unavailability for physical access, Poor level of service provided transportation (choice/option/values), Loss of cultural diversity, Lack of access to spatially distributed services and activities, Increase of accidents rates, Averting behaviour, Safety perceptions decrease, Loss of public safety (dangerous cargo), Soil/air/water quality loss, intrinsic value depreciation, loss in journey quality and loss of physical fitness and security	Geurs et al. (2009)
Environmental problems caused by the port to the marine fauna	Nogué-Algueró (2020), Prumm and Iglesias (2016)

3.5.3 Social Impacts Assessment (SIA) in Ports

Saitua (2007, p. 23) defined SIA in a transport project context as:

> a process that seeks to evaluate all expected impacts of an option or a project on all the individuals of a society, not just the parties directly involved as consumers or producers.

SIAs should be developed to compare different scenarios, before and after any intervention, and should offer an output analysis focused on the balance of positive and negative impacts for stakeholders which arise from changes created by organisations (Musso et al., 2007). The use of SIAs can promote a positive agenda with stakeholders (Santos et al., 2017) because it can support the improvement of impacts management related to the day-to-day activities of ports (Musso et al., 2007).

Examples of positive outcomes flowing from SIAs include, but are not limited to: the establishment of communication channels with different stakeholders (Notteboom and Winkelmans, 2003, Dooms et al., 2015); the maintenance of corporate sustainability goals (Gómez, 2015, Schrobback and Meath, 2020); the prediction of changes to local and global environments that can affect ports (Messner et al., 2016, Lozano et al., 2020); the elimination of gaps between the expectations of business and society (Musso et al., 2007, Cheon, 2017, Carpenter and Lozano, 2020); as well as improvements in the competitiveness of cities linked to the ports (e.g., attractiveness, liveability) (Zhao et al., 2017).

In terms of the ways ports define governance related to SIAs, a bottom-up approach is suggested by some scholars to promote the meaningful participation of stakeholders in investigations of social impacts characteristics (Zhao et al., 2017, Benacchio et al., 2001, Notteboom and Winkelmans, 2003, Notteboom and Rodrigue, 2007, Dooms et al., 2015, Dooms, 2019). When involving stakeholders in SIAs, it is crucial to consider the best timing for their inclusion in the process (Notteboom and Winkelmans, 2003, Geerts and Dooms, 2020) and the best

communication format to adopt while dealing with different groups (Musso et al., 2007, Gómez, 2015, Geerts and Dooms, 2020).

In addition to a focus on stakeholders, from an economic impact assessment (EIA) perspective, this review of port literature added seven (7) other aspects of SIA to be considered by port managers: 1) the regularity of the assessments; 2) the analysis of value-added and employment impacts; 3) the treatment of macro-level data; 4) the definition of geographic and sectoral boundaries of the port area; 5) the distinctions between different operational characteristics; 6) the influence of regional characteristics; and, 7) the definition of a reliable data collection process for later analysis of the scenario (Dooms et al., 2015). Table 3-5 summarises these aspects and provides more in details about why they should be considered in SIA's development.

Table 3-6 Economic Impact Assessment considered in SIAs development in ports

Aspects to consider	Reasons for considering the aspect
Regular assessments	As stakeholders' salience and social impacts change along the time, SIAs cannot be adopted as a single point in time process.
Inclusion of value-added and employment impacts	Employment variables should not be considered alone, and peripheral value-added activities should serve as a reference.
Treatment of macro-level data	The local analysis is essential, but as the area of influence form a port can extend to far regions, macro-level data should be considered,
Geographic and sectoral boundaries of port area	It is necessary to define these areas to set the scope of analysis, generalise a result for that region and consider differences related to regional aspects.
The distinction amongst different types of operation	Different operations will generate different impacts.
Real nature of regional effects	Information used on the SIAs elaboration must account for the reality and not in assumptions.
Adoption of reliable data collection in cases that the information is not available	The objective is to support initiatives that will create and feed the dataset along the time.

Source: Compiled by the author based on Dooms, Haezendonck and Verbeke (2015)

A review of port literature shows that SIA is already a focus for scholars supporting CSR2 development within the industry. Moreover, the inclusion of stakeholders in the SIA process seems one of the key points that scholars agree concerning CSR2 development in ports. The view of managers about the processes involved in social impacts and stakeholders management, in the context of CSP management, arises as a significant opportunity to complement data already presented in the literature. Therefore, the data collection process will be focused on presenting an inside-out view about CSP management in ports, using managers perspectives to depict the different CSR2 processes known by organisations.

The next section discusses how the third element of Wood's (1991) CSP theory, the outcomes of corporate behaviour, is discussed within the port literature.

3.6 Social Outcomes of Corporate Behaviour in Ports

According to Wood (1991), the social outcomes of corporate behaviour are related to the social programs, policies and impacts created by organisations as a result of their CSR1 and CSR2. As discussed previously, an important aspect of discussions about CSR2 found in the literature is the assessment of social impacts. The solution to or addressing of social impacts is named by Wood (1991) as a social outcome.

A common theme in the business environment is the production of social policies and programs designed to guide an organisation's actions in the social dimension. The Governing website (Wilson, 2015) described the difference between social policies and programs, as

> Programs are short-term interventions that create temporary improvements in the wake of challenges. Policies, on the other hand, are covenants we collectively choose to live by, as articulated in legislation and regulation.

In ports, one example of this distinction can be found in the definition of social policies as the establishment of rules guiding behaviour in the social dimension (e.g., human resources policies, health and safety policies or community relation policies), while programs are defined concerning actions adopted to mitigate problems affecting particular groups (e.g., programs developed to prepare employees for retirement, programs related to the elimination of accidents caused by the port in the community, programs for environmental protection). In combination, Wood (1991) argued, these kinds of social policies and programs can create positive social impacts as a result of CSR2 adoption, regardless of whether organisations develop them by compulsory or voluntary motivations.

This study identified six major categories of benefits that can emerge from the positive social outcomes of corporate behaviour: 1) the reduction of tensions between ports and society (Cheon, 2017, Zhang et al., 2019); 2) support for the achievement of sustainability goals (Lirn et al., 2013, Van den Berghe and Daamen, 2020); 3) the promotion of opportunities to share corporate knowledge with stakeholders (Vanelslander, 2016, de Langen, 2020); 4) the improvement of overall development of a region (Notteboom and Rodrigue, 2007); 5) the improvement of the competitiveness of cities linked to a port (Hall and Jacobs, 2012, Zhao et al., 2017, Van den Berghe and Daamen, 2020); and, 6) the increase and promotion of cultural tourism activities in cities historically linked to port activity (Gómez, 2015, Andrade and Costa, 2020). In terms of Wood's (1991) definition of social outcomes,

whether they are developed more comprehensively or more focused on specific issues, all the benefits mentioned above emerge from policies and programs created to manage the social impacts.

Scholars have sometimes referred to the need for governmental market intervention, to ensure that ports incorporate the social dimension in their programs and policies development (Notteboom and Winkelmans, 2003, Cheon, 2017, Markovich and Lucas, 2011). As a consequence of compulsory incorporation, however, concerns arise that regulatory interventions can have negative consequences for businesses. One example of this is when compulsory adoption forces ports to replace obligations that are related to public power accountability (Dentchev et al., 2016, Aerts et al., 2015). This can occur, for example, when the port becomes the primary provider of educational development in areas where the public power is not competent enough to deliver these benefits to stakeholders. Scholars in other industries have raised the concern about private organisations becoming a substitute for the public power, and ports should learn from these experiences and not repeat the same mistakes (Zyglidopoulos et al., 2016).

There are a few measures raised in the literature which seek to avoid problems linked to the compulsory adoption of corporate social behaviours. For example, the proactive adoption of certain corporate social behaviours to avoid the pitfall of being forced to adopt responsibilities that are not part of their scope. Maybe if ports act proactively, regulators may observe that the port is doing something in the social dimension and perhaps not impose additional and compulsory demands in the social dimension (Dooms, 2019). Ashrafi et al. (2020) suggested a holistic mapping of the forces pressuring ports (e.g., organisational, governmental, societal, market) to

support the preventative adoption of practices in the social dimension and avoid compulsory enforcement.

In general, scholars accepted the importance of producing positive social outcomes as part of port industry practice (Verhoeven, 2010, Lim et al., 2019, Klimek et al., 2020, Schubert, 2020). Some perceived positive corporate social behaviour as a matter of survival for ports, especially considering ports' symbiotic relationship with the regions in which they are inserted (Carpenter and Lozano, 2020, Zhang et al., 2019). Others urged for more attention on developing a more sustainable posture as part of the management and governance of ports, making the adoption of the corporate social behaviour a natural part of port administration (Schrobback and Meath, 2020, de Langen, 2020).

This literature review reveals that scholars discussed different aspects of social outcomes production described by Wood's (1991) CSP model. However, it is not clear how social outcomes of ports are approached in the context of CSP management in the sector. Therefore, information gathered from the literature serves as a base for exploring in more detail how ports incorporate CSP in terms of their corporate behaviour in the social dimension.

The next section of this chapter focuses on an analysis of the literature linked to the evaluation of CSP in ports.

3.7 CSP Evaluation of Ports

The evaluation of CSP in ports is an area that needs attention because, in the literature, there is a gap linked to the development of evaluation processes in the social dimension (Lim et al., 2019, Ha et al., 2017). Studies focusing on port

performance have tended to focus on macro analyses of operational and economic dimensions, examining performance from perspectives such as ports' network efficiency, cargo handling performance, and operational competitiveness (Ha et al., 2017, Langenus and Dooms, 2015). Although comprehensive, all the indicators employed in the studies analysing performance in ports lagged attention to the social dimension. The lack of importance given to social performance indicators was emphasised by Lim et al. (2019) in a comprehensive literature review process and discussed indirectly by other scholars in the literature (Markovich and Lucas, 2011, Vanelslander, 2016, Geurs et al., 2009). The reasons preventing a higher development of CSP in ports literature vary.

The challenge of defining social performance indicators for ports have been related to the difficulty in materialising social results in the short term (Geurs et al., 2009), difficulty defining and determining sustainability goals (Holmstedt et al., 2017), and the difficulty of collecting data from different stakeholders in order to define what is essential in the evaluation process (Ha et al., 2017, Duru et al., 2020). Moreover, some scholars suggested that a lack of interest by managers makes the incorporation of CSP evaluation even harder in the port industry (Markovich and Lucas, 2011).

Measures have been proposed to promote and support CSP incorporation, including the definition of indicators with a focus on specific aspects affecting stakeholders (as they are the legitimate party for evaluating a port's CSP) (Dooms et al., 2004). Ashrafi et al. (2020) suggested that managers should focus on five (5) drivers of CSP incorporation (social-related, policy-related, economic-related, market-related, governance-related), and they should more clearly understand how these drivers

can improve the sustainability of their organisations in the long term. Although scholars have discussed the need to expand performance evaluation and overcome the challenges of adopting CSP evaluation in ports (Santos et al., 2016, Acciaro, 2015), there is still the practical challenge of defining useful and valid indicators in the social dimension (Vanelslander, 2016).

Scholars have attempted evaluating the social performance of ports, with some using a sustainability perspective to propose indicators of social performance. For example: Notteboom and Winkelmans (2003) identified as potential indicators the number of ports visit days promoted, the establishment of permanent consultative groups with communities, and social actions promoting quality-of-life for the local community. Sislian et al. (2016) referred to indicators measuring the quality of relationships between the port and the city, the level of knowledge creation, and the liveability of surrounding areas, as indicators to evaluate the CSP of ports. Santos et al. (2016) focussed on the quantity and quality of communication channels as indicators in the social dimension. Further to these examples, scholars have suggested the inclusion of indicators related to job creation and tax returns (Acciaro et al., 2014, Santos et al., 2017), direct/indirect employment (Dooms et al., 2015, Sislian et al., 2016), the urban attractiveness promoted by the port (Zhao et al., 2017), the positive relationships with unions (Cheon, 2017), the safety and security of community members, local mobility, noise levels and light disturbance, spatial design, and the visual quality of the port area (Dooms et al., 2004), the region GDP evolution, and also the level of information disclosure from the port to stakeholders (Ha et al., 2017). Although diverse, the list of indicators reveals that qualitative and quantitative information is used in the analysis of performance in different studies.

Wood (2010) suggested the combination of both data to ensure a comprehensive and participative process, including the organisations and the stakeholders involved in the relationship.

Roh et al. (2016) and Lim et al. (2019) identified potential indicators, including support for social activities linked to communities around a port, improvement working safety conditions, welfare improvement, support for training and education in the community, communication with the public, scholarships promotion, internship opportunities, community economic activities improvement, support for community projects, cooperation with urban authorities, and academic partnerships. Table 3-6 summarises the range of indicators related to performance in the social dimension identified in this study's review of the relevant port literature.

Although comprehensive, when studies quoted above refer to the indicators included in the list of indicators in Table 3-7, they often suggested indicators to evaluate CSP in ports. The studies do not necessarily provide examples of how CSP indicators incorporation occurs in the sector. Vanelslander (2016)'s study of northern-European ports is one of the few studies which specifically examined the perception about the incorporation of social performance evaluation. Vanelslander's (2016) research results showed that the social dimension was of the highest importance in the sustainability approach by companies in Belgium and that organisations were able to manage results of actions in the social dimension by using the indicators presented in Table 3-7.

Table 3-7 Performance indicators of ports related to the social dimension

CSP Indicators provided by the literature	References
- Promotion of port visit days, - The establishment of permanent consultative groups with communities, - Social actions to promote the life quality of the population around ports.	Notteboom and Winkelmans (2003)
- Job creation, - Tax returns.	Acciaro et al. (2014
- Employment per hectare.	Dooms, Haezendonck and Verbeke (2015)
- Direct and indirect employment - The relationship between port-city, - Knowledge creation, - Surrounding areas liveability	Sislian, Jaegler and Cariou (2016)
- Internal and external approaches to defining support for social activities, - Improvement of working conditions safety, - Welfare improvement, - Support for training and education, - Good communication with the external public, - Support to community social activities, - Scholarships promotion, - Internships opportunities, - Improvement of community economic activities, - Support to community projects, - Cooperation with urban authorities, - Academic partnerships.	Roh, Thai and Wong (2016)
- urban competition	Zhao et al. (2017)
- Job creation, - Union relationship.	Cheon (2017)
- Employment, - Regional GDP evolution - Information disclosure.	Ha et al. (2017)
- Employment	Santos et al. (2017)
- Communication process - The quality of the communication	Santos, S, Rodrigues and Branco (2016)
- Safety and security, - Local mobility, - Noise and light disturbance, - Spatial design and visual quality.	Dooms, Macharis and Verbeke (2004)
- Health and safety (7) - Job generation and security (5) - Job training (4) - Public relations (2) - Gender equality (2) - Social image (1) - Quality of living environment (1) - Social participation	(Lim et al., 2019)

Table 3-8 Social performance indicators proposed by Vanelslander (2016)

Indicator	Measures proposed
Security	Number of (near-)accidents without personal damage Number of accidents with personal damage Number of accidents with work leave Number of dangerous goods in the organisation Number of IMO containers Number of improvement points from the annual RI&E Number of environmental incidents
Healthy employees	Percentage of short leave Percentage of medium leave Percentage of long leave
Happy employees	Happiness of employees Percentage of staff turnover
Employee training	Share of the number of hours of training (% of company hours) Share of the number of hours of training focused on sustainability (% of company hours) Share of training costs in total company costs Percentage of employees that follows individual training
Employee diversity	Percentage of women in service Percentage of 15-30 years old Percentage of 30-45 years old Percentage of 45-67 years old Share of employees with fewer chances on the employee market (% of staffing) Share of employees with non-European nationality/origin
Society	Share of local suppliers and/or providers (within a range of x kilometres) Number of complaints about nuisance Share of employees that contribute to annual volunteer activities of the company Share of supplied capital, facilities and human power for sustainable goals (% of turnover) Share of internship and training places (% of staffing)

Source: Vanelslander (2016, p. 7)

It is to be acknowledged that, even if indirectly, CSP evaluation in ports has drawn the attention of many scholars examining sustainability performance management, and that efforts have been made to ensure the inclusion of social indicators in the analysis of ports' performances. Generally, however, even though it is the social dimension requiring more attention (Lim et al. (2019), only very few studies to date have taken CSP as their specific focus.

Based on the results of the literature review, the next section identifies the research gap addressed by this study and then describes the related conceptual framework developed for research methodology and data collection.

3.8 Research Gap

Based on the review of literature related to CSP in ports, four research gaps relating to CSP incorporation in ports were identified including 1) the need to explain the meaning that CSP has in the context of ports, 2) the need to discuss the social roles that ports have, 3) the need to understand how processes of CSR2 are developed in the context of CSP management and 4) the need to understand how managers incorporate the evaluation of CSP in ports. This section describes these four gaps in detail and explains the rationale for their inclusion in this study.

The first gap is related to the conceptualisation of CSP within the port industry. According to Wood (2010), before one can validly or usefully assess CSP, one must first understand the meaning attributed to 'social performance' within the business context being evaluated. To date, however, there have been no studies which specifically examine how CSP is defined by those working in port management. While performance in the social dimension has been approached from a more general sustainability perspective, it remains unclear how CSP is conceptualised within the port industry.

The second gap identified for this study is related to the opportunity for the identification of the roles played by ports in the social dimension. Although the literature contains a range of discussions concerning different roles related to economic and operational perspectives on performance, the CSP of ports remains

largely ignored. Identifying and understanding the social roles of ports is important because these roles represent what those working in the port sector perceive as part of their businesses accountabilities and define their objectives in the social dimension. It is also important to understand the rationale for adopting different social roles because this helps to show what motivates the adoption of social roles and how the sector perceives its impacts in the social environment and vice versa.

The third research gap identified for this study is related to how ports incorporate responsiveness processes in CSP, particularly concerning the management of stakeholders and social impacts. Although studies examining the management of stakeholders, social environments and social issues are available, none thus far have directly explored responsiveness processes in the context of CSP management in ports as suggested by Wood (1991, 2010). Therefore, this study gives attention to the processes for managing social impacts and stakeholders, specifically in terms of CSP management.

Finally, the fourth research gap identified for this study relates to the definition and use of CSP evaluation processes in ports. Although the literature presents some studies examining the use of social indicators in performance management from a sustainability perspective, it remains unclear how ports incorporate the evaluation of CSP as part of their routine. The objective of this analysis is to understand indicators and more comprehensive processes perceived by ports' representatives as useful for CSP incorporation by the sector.

Based on the four research gaps described above, the next section explains the conceptual framework, which supports the exploration of CSP in this study.

3.9 The Conceptual Framework

A conceptual framework allows the researcher to demonstrate and identify the key research concepts and variables adopted for their study (Ravitch and Riggan, 2012). The use of a conceptual framework is also strongly linked to qualitative and quantitative data analysis which classifies data into categories before analysis, thus avoiding results that give only an impressionistic view of what they mean (Saunders et al., 2009).

The conceptual framework adopted for this study has its origins in the CSP model proposed by Wood (1991), which has three main items: Corporate Social Responsibility principles, Corporate Social Responsiveness processes, and Outcomes of Corporate Behaviour. Each of these items contains of interest to explain how CSP incorporation occurs in ports. In addition to the variables taken from Wood's (1991) model, the variable labelled as 'Ports' CSP evaluation' has been taken from Wood (2010) and added to this study's conceptual framework. Figure 3.2 represents this study's conceptual framework graphically. A detailed discussion of each element is provided in the sequence.

The box named 'Corporate Social Performance Incorporation in Ports' is used to represent the overall intention of the author to respond to the PRQ about how CSP is incorporated by ports management in different perspectives of analysis. This element reflects the aims of this study which is to explore the use of CSP and its managerial implications for ports.

The four boxes in solid lines with grey background represent the four (4) elements of CSP exploration: the comprehension of CSP in Ports (Wood 2010); the corporate

Social Responsibility (CSR1); Corporate Social Responsiveness processes (CSR2); and, the CSP evaluation in Ports - all of which have been adapted from Wood (1991b) and Wood (2010). The boxes with solid lines and white background present the key elements that support the discussion about CSP incorporation in ports.

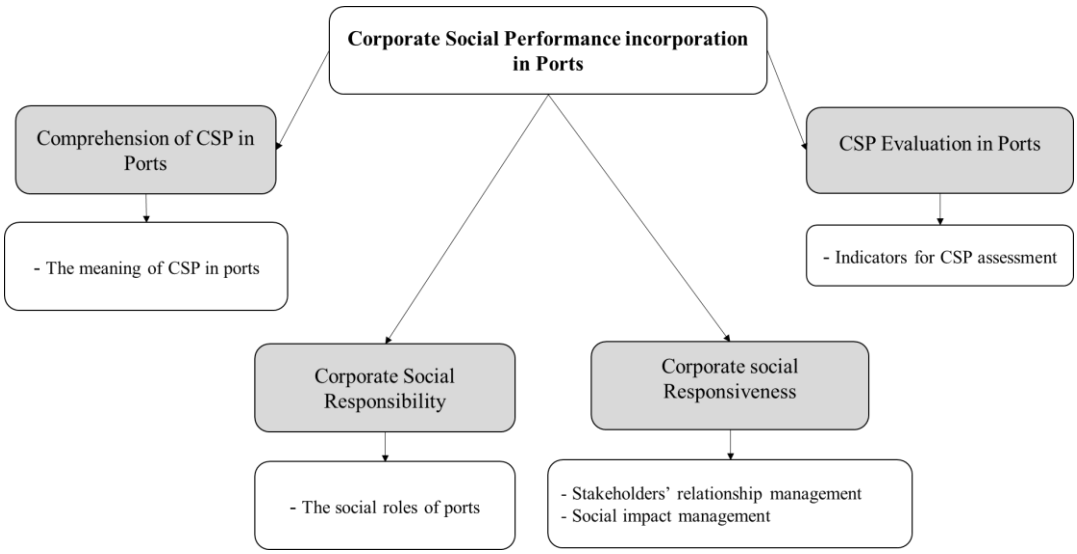

Figure 3-2 The conceptual framework of this study

The variable, Comprehension of CSP in Ports, aims to explore what port representatives understand social performance to be in their particular business context. According to Wood (2010), this is essential at the beginning of studies where the topic of CSP has not been developed in great detail. The results obtained are then useful for framing how representatives of ports consider CSP as a concept in the context of their industry.

The variable, Corporate Social Responsibility (CSR1), is related to ports' adoption of the responsibility principle in their businesses, and perceptions of their accountability umbrella according to the business' characteristics. As represented in the white box, a more explicit focus is given to the comprehension of the social

roles of ports and the rationale involving that explains what moves managers to adopt social roles in ports.

For the variable, Corporate Social Responsiveness Process (CSR2), this study explores how processes related to the management of relationships with stakeholders and the management of social impacts are developed in the context of CSP in ports. This variable supports questions exploring, for example, which groups of stakeholders are considered relevant by port managers, the processes used to manage relationships with different groups, and other aspects such as the priority criteria defined to manage these relationships. A similar focus is given to the investigation of social impacts caused by ports, and the processes perceived as essential and appropriate for managing social impacts in the port industry context.

The variable, CSP Evaluation in Ports, focuses on how the evaluation of CSP is perceived and adopted in ports. It has a focus on what representatives from the sector perceive as significant about processes and indicators appropriate for assessing CSP.

According to Wood (2010, p.50), 'all these elements can be measured and evaluated: impacts and outcomes; processes; and the specific guidance offered by structural principles'. With this in mind, a range of processes and indicators in CSP are explored in this study to help build an understanding of CSP incorporation in ports.

Overall, the conceptual framework represents the fundamental aspects explored in this study in order to meet its aims and answer its research questions. The next chapter presents the academic methods used to collect and analyse data.

3.10 Summary

The review of ports literature undertaken for this chapter reveals that the performance of ports in the social dimension has not been directly and comprehensively explored. The literature also reveals, however, increasing interest from scholars on developing this area of knowledge in the context of a sustainability approach to ports management.

The literature reveals that social roles reported by scholars include different aspects perceived as part of ports' accountabilities. The economic role is often referred to as the primary role of organisations in ports, but other roles linked to performance across environmental and social dimensions are also part of the literature. Overall, the literature review shows that, although scholars discuss the social roles of ports indirectly (e.g., regional development role), there is no consensus view about the social roles of these organisations. Moreover, the literature presents different aspects linked to the promotion and adoption of social roles by ports, offering an opportunity to expand the exploration of the rationale linked to it in different social contexts.

Concerning processes related to CSP management, the literature presents substantial studies discussing the management of stakeholders, mostly based on experiences reporting the adverse effects of stakeholder opposition when unsatisfied with their relationship with the organisation. Scholars have dedicated considerable time to describing the different stakeholders in relationship with ports, and how their characteristics can influence the way relationship management may occur. Although the literature provides relevant knowledge about the assessment of social impacts on stakeholders (including, for example, the impacts caused by ports

in the natural environment and their consequences for stakeholders), there remains a research\knowledge gap in understandings about how ports see their performance when dealing with social impacts (e.g., the management of actions to mitigate the effects of the ports operations in people's lifestyle, problems with stakeholders' mental health, dispute on land use and others).

The production of social outcomes and the process of evaluating CSP in ports are areas where scholars need to invest more efforts and promote the importance of the social dimension to the same levels given to the economic and environmental dimensions. Although considerable developments have been achieved over time, there is still a need for a more holistic view of the social outcomes which goes beyond the economic. Moreover, there is a need to include the assessment of performance in the social dimension within a more strategic approach, using processes and indicators in the social dimension aligned with the social objectives adopted by ports. The need for more social-oriented indicators is still one of the main areas in need of development perceived by scholars in the literature.

Overall, these gaps are addressed in this chapter and represented in a conceptual framework to support the investigation about how organisations in the ports incorporate CSP. Special attention is given to the exploration of what are the social roles and responsibilities perceived as part of ports attributions, how the processes managing stakeholders and social impacts are developed, and how ports understand and incorporate CSP evaluation process.

The next Chapter presents in detail the methodology for data collection, in two distinct phases based on a mixed-methods approach.

Chapter 4: Research Methodology

4.1 Introduction

In the preceding chapters, the research objectives and questions guiding this study were introduced and explained by a review of the literature concerning CSP. This literature review revealed that, although scholars such as Wood (1991a) have developed a theoretical framework for exploring CSP, the adoption of CSP in ports has not been examined in-depth to date. Wood (2010) encouraged researchers to conduct empirical studies in industries, where comprehension of CSP is not well developed, in order to fill gaps in knowledge about the conceptual and practical definitions of CSP being utilised in those industries. To this end, Wood (1991) argued, the principles, processes and indicators used concerning CSP must be investigated to describe how businesses incorporate these social dimension aspects into their corporate culture. This study echoes Wood's (1991, 2010) suggestion, and undertakes empirical research to investigate CSP incorporation into port management.

Before performing such research, the concepts and methods to be employed need definition based on academic principles, to ensure that the research is valid and its conclusions reliable. Therefore, all relevant aspects of this study's research methodology have been included in this chapter.

This chapter begins with a discussion of the predominant research philosophy and the implications of this philosophy to the further definition of research methods. This study's research purpose is then presented, followed by a discussion of the aims of the study and an explanation of the research framework. The study's mixed-

methods research strategy and its design are then explained, including the collection and analysis of data across the study's two sequential phases.

Phase 1 of this study collected qualitative data using telephone interviews with port managers in Brazil and analysed that data using content analysis. The objective of Phase 1 was to reveal aspects of CSP incorporation in ports emerging from the empirical knowledge of managers in ports. Phase 2 of the study took a quantitative approach, collecting data using a web-survey instrument, descriptive statistics and an Exploratory Factor Analysis (EFA) to deepen the findings of Phase 1. This chapter explains and discusses decisions made in this study about methods, sampling strategy, ethics approval procedures, pre-testing, and bias control for both phases. This chapter also includes a brief report of data collection outcomes, leading to a more detailed examination of the data analysis related to both phases in Chapters 5 and 6, respectively.

4.2 Research Philosophy and Approach

The decisions about methods made throughout a scientific study are underpinned by its research philosophy. According to Saunders, Lewis & Thornhill (2009), the way researchers think about the development of knowledge is reflected in the way he/she undertakes research. However, scholars do not necessarily need to limit their research to one specific philosophical approach; sometimes two of them can be used as a continuum of research development (Saunders, Lewis & Thornhill 2009), with a predominant philosophy paradigm defining the perspective from which the world is interpreted (Creswell and Clark, 2007).

Research philosophy is supported by a research paradigm, which represents 'the way used to analyse a social phenomenon, from which a particular understanding of this phenomena can be gained and explanations attempted' (Saunders, Lewis & Thornhill 2009, p.118). Research philosophies consider the interpretation of the nature of reality (ontology), the understanding of that reality (epistemology), and, finally, how the researcher discovers what he/she believes to be the reality (methodology) (Crossan, 2003). When analysed together, the ontology, the epistemology and the methodology help researchers determine whether qualitative, quantitative or mixed methods approaches will be more appropriate to answer their research questions (Johnson and Onwuegbuzie, 2004). They also help to identify the possible limitations of the research in terms of its breadth and depth (Woo et al., 2011).

Saunders, Lewis & Thornhill (2009) referred to four main categories of research philosophy: positivism, realism, interpretivism and pragmatism. Although there are variations and sub-categories between each of these four main philosophical approaches, discussion for this study focuses on the main four categories mentioned above.

4.2.1 Research Philosophies Discussion

In positivism, researchers see reality as something independent from social actors' view, where only observable phenomena can provide credible data to test a hypothesis which can later be improved or generalised (Saunders, Lewis & Thornhill, 2009). Positivism usually involves the use of quantitative data, from previous theories, although a qualitative approach is also possible.

In realism, the guiding philosophy contends that 'reality exists and it is independent of human thoughts and beliefs' (Saunders, Lewis & Thornhill 2009, p 84). Realism relies on human senses and perceptions to explain how the world works. Realism attempts to use quantitative data to explain observations of a real phenomenon (direct realism); or to use qualitative data to define a phenomenon according to the understandings about the phenomena expressed by different actors (critical realism) (Saunders, Lewis & Thornhill, 2009).

Alternatively, interpretivism advocates for a need to understand the differences between humans in their roles as social actors (Saunders, Lewis & Thornhill, 2009). According to Crossan (2003), interpretivism acknowledges a reality based on the perceptions of social actors in a particular phenomenon instead of formulating theories that are not capable of representing how the real world behaves. Interpretivism generally involves the use of qualitative data, related to the analysis of people's feelings about, and perceptions of particular phenomena (Saunders, Lewis & Thornhill, 2009).

Pragmatism takes the view that the most critical determinants of what should be considered 'proper knowledge' are: the research participants view of the nature of reality and their view of roles in the research expressed in their research questions (Saunders, Lewis & Thornhill, 2009). In other words, in addition to developing a conceptual construction of reality, pragmatism is concerned with the investigation of how the comprehension of reality affects the real world. In terms of pragmatism's methodological implications, because the research questions do not necessarily demand the exclusive use of either qualitative or quantitative data, pragmatism was found to be the research philosophy most suited to this study (Saunders, Lewis &

Thornhill, 2009). Of particular importance for this study is the positive aspect of pragmatism's capacity for incorporating multiple perspectives, which has made it particularly suitable for this study. The reason being is because the incorporation of multiple perspectives allows for the development of a continuum between philosophies, enabling research methodologies which employ different or mixed methods (Saunders, Lewis & Thornhill, 2009).

This study explores and examines the phenomenon of CSP management in ports, based on perceptions reported by of a specific group of actors, to help add to understandings about CSP and to explore how CSP incorporation can affect the management of the business. The next section examines how the pragmatic research philosophy adopted for this study has influenced the research approach and methods adopted.

4.2.2 Research Approaches

Scholars refer to deductive and inductive research approaches as the mainstays of social research (Saunders et al., 2009, Creswell, 2009, Creswell and Clark, 2007, Tashakkori and Teddlie, 2010). Saunders, Lewis & Thornhill (2009) made a distinction between these two approaches, stating that a deductive approach usually involves the testing of a theory, while the inductive approach builds theory from observed data. Some scholars go even further, stating that a deductive approach is usually related to quantitative methods, while an inductive approach is more related to qualitative methods (Creswell, 2009, Ghauri et al., 1995, Johnson et al., 2016, Morgan, 1998).

This study uses data collected from participants in the study to explore how the CSP theory developed by Wood (1991) is incorporated in ports. Therefore, this study adopts an inductive approach to ascertain how CSP theory is incorporated into actual business practices in working Brazilian ports (Saunders, Lewis & Thornhill, 2009). The effect of the research approach to the research purposes is another aspect referred by scholars in methodology literature (Saunders, Lewis & Thornhill, 2009). Discussion about the research purposes sits between the construction of theory and the methods used in research. Identifying and defining the purpose of a study is essential to clarify what the researcher expects while developing the research, and to guide the selection of appropriate research methods for achieving intended objectives.

Saunders, Lewis & Thornhill (2009) identified three general research purposes often employed in business social research: description, exploration and explanation. A brief discussion of the differences between these three research purposes is presented below.

4.2.3 Research Purposes

Descriptive research aims to present an accurate profile of persons, events and/or situations while explanatory research focuses on studying a situation or a problem in order to explain relationships between variables (Saunders, Lewis & Thornhill, 2009). Exploratory research seeks to draw conclusions about the definition of a concept or a theory by using data gleaned from a specific population (Saunders et al., 2009, Creswell and Clark, 2007, Creswell, 2009, de Vaus, 2001).

This study is exploratory because CSP in ports has not yet been studied in a comprehensive manner which includes all the elements defined within CSP theory. Studies have previously been conducted into the CSR1 of ports (Vanelslander, 2016, Acciaro, 2015) and stakeholder management (Notteboom and Winkelmans, 2003, Aerts et al., 2015, Dooms et al., 2004), and although a range of scholars has urged for more analyses of social performance management (Dooms et al., 2019a, Dooms et al., 2015, Ha et al., 2017), there has as yet been no comprehensive study which frames all these aspects together in the context of CSP incorporation in ports. Therefore, this study will use data gathered from a specific population to conclude how theoretical aspects suggested by Wood (1991) are incorporated in ports.

More details about how the research purpose influences on research strategy are discussed in more depth in Section 4.5. Before that, Section 4.3 refreshes the research questions, and Section 4.4 presents the research framework explaining the main aspects involved in the execution of the research.

4.3 Research Questions of the Study

In research, the development of research questions aims to guide the investigator towards the achievement of the study's purposes (Creswell, 2009). This study has been guided by its Primary Research Question (PRQ) and also its Secondary Research Questions (SRQ), detailed below.

PRQ: How is CSP incorporated in port management?

The PRQ follows Wood's (2010) suggestion to explore how CSP management is conceptualised, thus allowing insights into how such conceptions may influence the development of CSP in a given business context.

To support the PRQ, four SRQs were developed to guide this study:

SRQ 1: How do port managers comprehend CSP?

SRQ 2: What is the social role of ports and the rationale for adopting it?

SRQ 3: How do port managers address social impacts on stakeholders?

SRQ 4: How is the CSP of ports evaluated?

The following section describes the research strategy and design, clarifying the plan to collect data and describing the design adopted to execute the research strategy.

4.4 Research Strategy and Design

A research strategy makes connections between concepts, theories and empirical research, defining the logic adopted to achieve research objectives (Ghauri et al., 1995). The research strategy is designed to support the acquisition of empirical data which can be used to answer theoretical research questions (de Vaus, 2001). A research strategy also helps to guide research ethics, define suitable sampling techniques, choose data collection and analysis methods, and, in the final stages, interpret and report results (Onwuegbuzie and Collins, 2007, Creswell and Clark, 2007). A study's research strategy also plays an essential part in helping to establish a logical, valid & practical sequence for actions to be taken and research methods to be deployed across the different stages of the study (Saunders, Lewis & Thornhill, 2009).

The strategy adopted in this study is to explore CSP incorporation based on perceptions provided by key stakeholders (i.e., managers in ports) to reflect how the theory developed by Wood (1991) is incorporated in practice. Therefore, the

strategy focuses on collecting data directly from participants and building knowledge grounded only in the life experiences that managers have working at ports. A comprehensive data collection is not possible, including all the managers in Brazil, and therefore, a representative sample was used to reveal the primary aspects of interest around CSP incorporation. In a second moment, it is sought from a larger part of the population the view about the initial knowledge in representing CSP in ports. Both data emerging from the different phases are then used to answer the research questions complementarily.

Therefore, from a pragmatic research philosophy, this study developed a mixed methods research strategy designed to help answer the research questions. Section 4.4.1 below discusses this interplay between the design of the research and the development of a mixed-methods research strategy.

4.4.1 The Research Design of Mixed Methods Strategy

Johnson, Onwuegbuzie & Turner (2016, p.123) referred to mixed methods design as:

> the type of research in which a researcher or team of researchers combines elements of qualitative and quantitative research approaches (e.g., use of qualitative and quantitative viewpoints, data collection, analysis, inference techniques) for the broad purposes of breadth and depth of understanding and corroboration.

Looking at the type of research questions and the lack of available knowledge about CSP incorporation in ports, this study employed a mixed-methods design to enhance the validity and reliability of its conclusions. Specifically, information revealed through the use of qualitative methods (i.e., interviews) with a select

sample of participants was planned to be confirmed or expanded through the use of quantitative methods (i.e., web survey). If only qualitative data were collected from the selected sample of managers, the results obtained could not be extrapolated to the larger population under analysis. Conversely, using only quantitative methods could not reveal new insights about the comprehension of the theory in the sample under analysis. In combination, these strategies formulate a logical and complementary structure which is used to achieve the research objectives of this study. Firestone (1987) argued that there must be meaning in the method(s) used by the researcher to allow the answer to the research questions. The method(s) must be feasible in execution but at the same time, capable of providing useful quality information (Saunders, Lewis & Thornhill, 2009).

There are two main types of mixed methods research design commonly adopted for business social research: convergent/concurrent research design, characterised by the use of different methods simultaneously in one single phase of a study (Creswell and Clark, 2007); and sequential research design, characterised by the use of different but complementary methods during distinct phases of the research, (Creswell and Clark, 2007).

Creswell (2009) suggested that sequential qualitative and quantitative data collection/analysis can be a viable exploratory research design (i.e., exploratory sequential research design). Further to this, Saunders, Lewis & Thornhill (2009) argued that the ordering of different research strategies within a sequential research design is essential, suggesting that the use of qualitative research strategies in the first phases of a study is appropriate when new knowledge is being developed about a topic and/or in cases where little research has been done previously in a specific

field. However, Creswell and Clark (2007), Silverman (2015), and Mason (2010) all warned that one cannot generalise results from a qualitative strand of research, and suggested that quantitative research strategies can be used in a mixed methods research design to add depth and to corroborate qualitative results. Johnson et al. (2016) also argued that quantitative research methods can be used to complement data from a qualitative phase of research. Such a symbiosis of qualitative and quantitative methods in a mixed-methods strategy addresses both the aims and limitations of this study and aligns perfectly with its pragmatic research philosophy.

An exploratory sequential research design was therefore developed so that: a) qualitative data collected in Phase 1 of this study could inform the development of quantitative research tools used in Phase 2; and, b) the quantitative data collected in Phase 2 of this study could subsequently be used to corroborate and deepen the knowledge contained in the qualitative data collected in Phase 1. Similar designs have been widely used across different areas of research, and have proved useful in helping to answer research questions which demanded an exploratory approach (Cameron, 2009, Berman, 2017, Harrison and Reilly, 2011, Sandelowski, 2000, Kelle, 2006, Sakalayen, 2014).

The research design of this study is presented in Figure 4-2, and the symbology used to produce the graphical representation of design has origins in the references provided by Creswell and Clark (2007). Boxes illustrate the different phases of data collection for this study and their sequence in time. Moreover, the nomenclature using capital letters identifies the qualitative strand of this study as dominant based on the exploratory approach. There is a dominancy of the qualitative strand over the quantitative strand because the first is responsible for generating data about CSP

incorporation in ports what have not so far been done in the literature. Therefore, the second quantitative strand only complements the findings of the qualitative strand, investigating more in-depth how the qualitative findings are comprehended by a larger part of the port managers population. The braces in Figure 4-2 represent the triangulation of analyses performed on data collected across both phases of the study. The research methods chosen for each phase of this study are discussed in detail in the following sections.

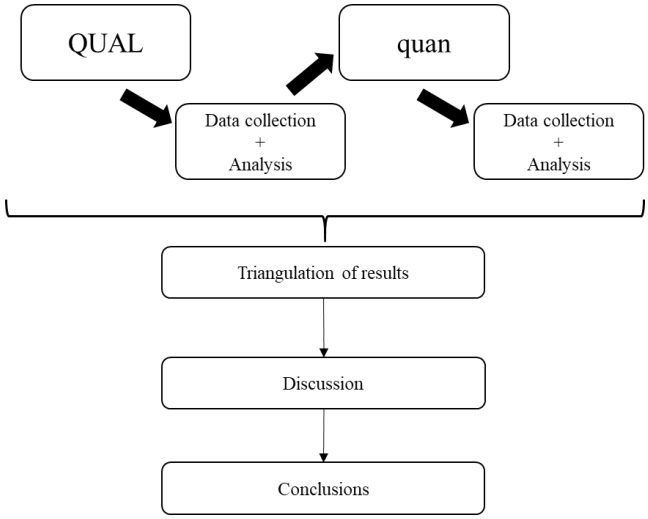

Figure 4-1 The mixed-methods design of the study

4.5 Research Methods

The literature suggests a range of possible methods for data collection and analysis in mixed-methods research strategy, both qualitative and quantitative.

4.5.1 Qualitative Method

Qualitative research offers a range of different options for data collection and analysis, including but not limited to questionnaires with open-ended questions or interviews (Burke and Miller, 2001, Guest et al., 2016, Jacob and Furgerson, 2012,

Knox and Burkard, 2009, Robinson, 2013, Seidman, 2013). Each of these methods has its advantages and disadvantages depending on the nature of the research and the context in which it is undertaken (Jacob and Furgerson, 2012, Seidman, 2013, Burke and Miller, 2001, Knox and Burkard, 2009).

One of the most widely employed qualitative methods for data collection is the use of interviews, and, importantly, for this study, the adoption of interviews is considered a valid and productive strategy when doing exploratory research. Using interviews for data collection in Phase 1 of the study provided the opportunity to acquire detailed information about how CSP is incorporated in ports based on information provided by a representative sample of the population. In exploratory research, interviews can be preferable to other methods of data collection because, in addition to other reasons, they minimise the risk of low response rates with the researcher contacting participants directly to engage in the study (Creswell, 2009). Moreover, Saunders, Lewis & Thornhill (2009) argued specifically that in-depth interviews are the most appropriate method for data collection in exploratory research because they offer the chance to expand the breadth of the topics under investigation as the interviewer supports the interviewees to develop their answers during the process.

In-depth interviews can be conducted face to face with participants or conducted via media such as the telephone or video conference applications. This study adopted telephone interviews for data collection in Phase 1 of this study because interviews are a powerful method for exploring a phenomenon in the context of qualitative research (Seidman, 2013) and offer positive benefits such as flexibility, convenience and comfort for researchers and interviewees (Knox and Burkard

(2009). Secondly, as the researcher was located in Australia at the time, while potential participants were located in Brazil, the use of telephone interviews avoided the need for travel between these countries during the study, thus adapting the research to the project constraints related to time and budget.

4.5.2 Quantitative Method

After collecting and analysing qualitative data during Phase 1 of this study, Phase 2 employed quantitative data collection using an online survey to explore in more depth the findings from Phase 1. The main aim of Phase 2 was to use quantitative research methods to test, generalise and expand on the qualitative data from Phase 1 of the study, using statistical tools to draw conclusions based on information provided by a larger part of the population (Chiu and Sharfman, 2009, Barua, 2013, Hinkin, 1998). A questionnaire survey was deemed appropriate for this strategy because it allowed the study to include a larger number of participants, and to employ statistical instruments that could translate the view of participants into numerical information of interest to the study (Morse, 1991, Firestone, 1987, Pirsch et al., 2006, Sierra-Garcia et al., 2015).

One crucial aspect also considered in the development of this study was selecting a unit of analysis that could yield valid and reliable data. The rationale behind the unit of analysis selection is presented in sequence.

4.5.3 The Unit of Analysis

The term, unit of analysis, refers to who or what is being investigated, and from which researchers can draw conclusions by contrasting theory and evidence (Babbie, 2015). Here it is essential to distinguish between a unit of analysis and a

unit of observation because they are not necessarily the same thing. A unit of observation is a source of information from which evidence is collected from (Babbie, 2015). For example, organisations cannot participate in interviews or surveys, although they can be considered the unit of analysis in a study. However, representatives of these organisations can participate in interviews representing the view of the organisation, and they are considered, therefore, the units of observation. The aggregate data collected from the units of observation, according to the literature, can be used as a proxy of the information related to the unit of analysis (Babbie, 2015). Accordingly, the unit of analysis in such cases is the organisation (i.e., what is being studied) and the unit of observation is the representative part of the organisation (i.e., where data is being collected from) (Rolfe, 2006, Golafshani, 2003, Noble and Smith, 2015, Lakatos and de Andrade Marconi, 1991, Seidman, 2013).

In this study, the units of analysis are organisations in ports (as defined in section 1.1,2) and the units of observation are managers representing these organisations. Managers were selected as units of observation because these individuals have roles that influence the actions of the organisations they belong to, and from their insights, it was possible to infer an organisation's perspective in the context of the study. Managers, in this case, are technically considered key informants (Kim and Daniel, 2019). Different researchers have discussed how the use of managers' view is significant in social research in business, especially in the case of high-level managers with more responsibility for policies and procedures inside organisations (Duarte, 2010, Kim and Daniel, 2019). Garza (2007) referred to the managers as units of observation as a valuable proxy for the unit of analysis because their attitude,

or reflective position, can reveal how theoretical concepts are incorporated in practice inside a business. However, attention is necessary when concluding data gathered from a proxy, particularly where conclusions are to be generalised using different units of analysis and units of observation. Researchers need to be careful not to allow ecological and exception fallacies to occur (Babbie, 2015). In an ecological fallacy, aggregate data is used to draw misleading conclusions about individuals, while in an exception fallacy, individual perspectives can over-represent the aggregate data in conclusions. To avoid issues related to ecological and exception fallacies, researchers must ensure that individual and aggregate data are analysed using concrete methods that represent precisely what the research questions aim to identify.

It is also vital to consider units of analyses in terms of the context where they are inserted, and how this context may influence their expressed views about the topic under investigation (Babbie, 2015). This consideration of context is vital to ensure that limitations are recognised concerning the generalisation of results. Saunders, M, Lewis & Thornhill (2009, p.258) argued that, if populations' characteristics differ, and this affects the final results, the objective of the study is achieved by explaining 'what is going on' in that research setting, but one cannot claim results are generalisable for different populations.

For example, in this study, the units of analysis were ports enterprises located in Brazil (e.g., public and private terminals, public and private ports, support facilities inside ports). Therefore, the view presented in the conclusions needs to be considered in the context of the targeted population located in Brazil. This study wanted to explore CSP incorporation in a business context where economic

opportunities and social challenges could potentially create tensions between the goals of organisations and society (Cheon, 2017). Such tensions have previously been referred to by international organisations as one of the biggest obstacles to the achievement of sustainable development in countries with similar characteristics to Brazil (OECD, 2020, OECD, 2015). Overall, this study analyses the adherence of theory and practice from the perspective of managers (i.e., the unit of observation) in ports (i.e., the unit of analysis) located in Brazil (i.e., the context of the research) to represent how CSP management is incorporated in that specific research setting (Visser et al., 2008, Zyglidopoulos et al., 2016). Generalisations drawn from the results obtained must take into consideration the changes that can occur in a different research setting concerning different units of observation and analysis and different research contexts.

This chapter has, to this point, focused on explaining the logic of decisions related to the methodological choices made for this study; the next sections detail the plan which was developed to employ a sequential mixed-methods strategy across the different phases of this study, beginning with the interviews data collection in Phase 1.

4.6 Phase One – The Qualitative Strand

This section describes the sampling strategy used in this study, the development of interview procedures, the ethics approval procedure and the processes of data collection and data analyses in Phase 1 of the study.

4.6.1 Sampling Strategy

This study considered two types of organisations as part of the target population. The first included the private ports and terminals located in Brazil. Attention was given to private organisations because, according to a report produced in 2020, private ports/terminals accounted for 60% of the total throughput of Brazil (Falleiros, 2020). Moreover, there was a trend towards increasing participation of private organisations in the Brazilian port industry as privatisation ramp-up in Brazil (Falleiros 2020). The other part of the target population was formed by prominent public organisations authorised to operate in Brazil. The inclusion of public organisations in ports was considered necessary because they were responsible for the operational management and the management of concessions in the leading state ports in Brazil.

Information about the name and the number of private and public port organisations in Brazil was acquired through a formal consultation process with the National Agency of Waterborne Transportation (acronyms ANTAQ in Portuguese). The request for information was done on the 21st May 2018, under the official request number 50650002114201845 and ANTAQ responded on the 25th May 2018, providing a comprehensive list of organisations in the port sector authorised to operate in Brazil by that time. Leisure ports, marina facilities, small inland ports (e.g., barge cargo transhipment stations), sub-concessions and ports in the project approval phase were excluded from the study due to their lack of operational significance (i.e., they were considered to be too small, have too few employees, only moving small volumes of cargo once per week, or they were not operating by the time data collection began). After filtering the information provided by ANTAQ,

a list with a target population of two-hundred and five (205) organisations was produced comprising168 private and 37 public port organisations.

Once the target population was identified, a sampling strategy adequate for the interview process was defined. Sampling in qualitative research focuses on the representativeness of the population by the sample selected, to ensure validity and reliability of the data provided (Robinson, 2013). Special attention was paid to the definition of the size of the sample and the target port organisations which were expected to provide reliable information representing the view of the sector about the CSP incorporation (Mason, 2010, Morse, 1991, Robinson, 2013, Silverman, 2015, Welsh, 2002).

There are different sampling strategies referred to in the literature. Saunders, Lewis & Thornhill (2009) described two main approaches to sampling: probability sampling and non-probability sampling. Non-probability sampling is more accurate, and it is considered more appropriate for studies that participants are selected based on non-random criteria. There is a range of different non-probability sampling techniques - quota, purposive, snowball, self-selection and convenient - and each method has its distinct characteristics concerning the applicability, costs and control over sample contents (Saunders, Lewis & Thornhill, 2009).

As time and budget posed limitations for this study, quota sampling was selected for use in Phase 1. Non-probability quota sampling was useful for this study because it required only a relatively few numbers of participants, which could be achieved within a defined time frame and was within the project's budget allocation. To define the quotas, first participants were identified in regions based on their

territorial location, to ensure that the Brazilian population of port organisations were proportionally represented according to their location in the country (Onwuegbuzie and Collins, 2007, Saunders et al., 2009, Creswell, 2009). In practical terms, Saunders, Lewis & Thornhill (2009) suggested that, if researchers have concerns about the division of a population into specific groups, they should identify the characteristics of concern (e.g., states and territories), calculate a quota to define a minimum number of cases to be investigated in each group, and then, collect and combine data from the different groups to achieve a broader perspective representing the topic under investigation. In defining groups, the quest for representivity in quota sampling should be based on at least one known variable/criterion to ensure that differences within the population are considered in the process (Saunders et al., 2009, Moser and Stuart, 1953).

Thus, for this study, the port organisations on the list provided by ANTAQ were grouped into geographical regions defined by the Brazilian government. Brazil is a country of continental proportions, and researchers in similar settings have emphasised the need to carefully consider the potential impacts of geography on the representativity of quota sampling (Hofstede et al., 2010, dos Reis and de Barros, 1991, Azzoni and Servo, 2002). Representativeness in quota sampling for this study was planned based on the calculation of the minimum number of units of analysis per region.

The quotas for participants per region were calculated based on the number of port organisations in each of the geographic regions defined by the Brazilian government. Brazil has twenty-seven (27) states, divided into five (5) regions (North, Northeast, Southeast, South and Centre-east). In four (40 of these regions

(South, Southeast, Northeast and North), seventeen (17) states have access to the coastline, with ports located along their entire length (see Figure 4-3).

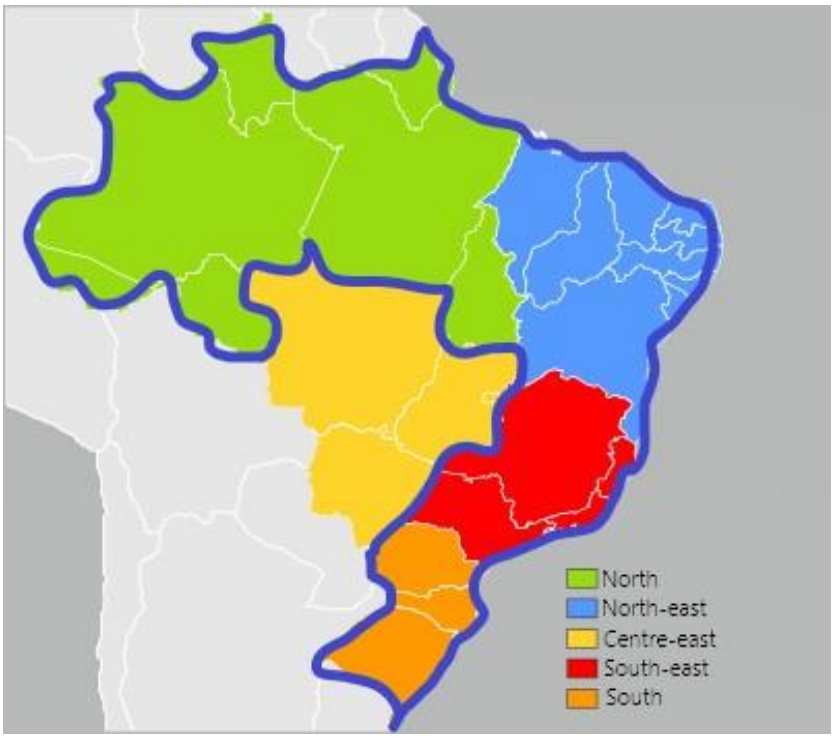

Figure 4-2 Brazilian regions with access to the ocean

The sampling quotas calculated for Phase 1 targeted a minimum of 10% of port organisations authorised to operate in each region. Based on this 10% quota, sampling calculations yielded a target of a minimum of twenty (20) interviews across the four (4) regions included in this study. This minimum of twenty (20) interviews was in line with research suggesting that between ten (10) and twenty-five (25) interviews are appropriate for exploratory studies using interviews instruments for data collection (Burke and Miller, 2001, Guest et al., 2016, Jacob and Furgerson, 2012, Seidman, 2013). Figure 4-4 presents the overall distribution of the unit of analysis per region, the percentage of target samples per region, and the minimum number of interviews planned for each region encompassed within this study. With the quota sampling strategy, the objective of Phase 1 was to collect

as much data as possible about the perspectives of port managers located in the whole Brazilian territory.

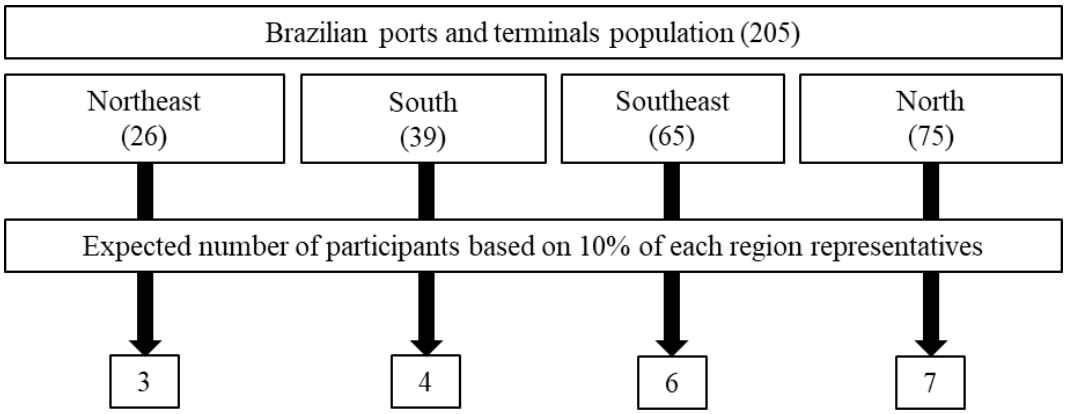

Figure 4-3 Description of the quota sampling per region

4.6.2 Participants Selection Criteria and Identification

In addition to the quota's definition, interviewees were selected for Phase 1 purposively (Saunders, Lewis & Thornhill, 2009). The purposive selection, according to Robinson (2013), is based on clear criteria, and in the case of this study, the first selection criteria was that participants representing organisations' view should occupy high-level managerial positions inside the organisations. Wherever possible, people in the highest managerial positions (i.e., directors or chief executives) were invited to participate due to their influence on the development of different aspects of their organisations, including policies and procedures linked to the social dimension (Duarte, 2010, Thomas and Simerly, 1994). Where no chief executive or director was available, priority was given to potential participants working at other levels of senior management which also had influence within the development of the social dimensions of their organisations.

Additionally, purposive sampling considered that only representatives from organisations that had publicly demonstrated some knowledge of, or familiarity with processes in the social dimension management should be interviewed in Phase 1. The organisation familiarity with actions in the social dimension was verified through companies' publicly available annual reports and/or corporate website information (e.g., statements of mission/vision). This familiarity criterion aimed to focus on data collection from port organisations where CSP management was, to some extent, recognised as part of the organisation's activities (Mills et al., 2009, Duarte, 2010). The management involvement with the social dimension helped ensure that interviewees in Phase 1 unlikely to claim that their organisation had no social dimension to its management (Morse et al., 2002, Homburg et al., 2012). CSP management familiarity was considered important to ensure the validity of the interviews data and was also valuable to represent the match between the participants' practical knowledge and the theories informing the research (Thomas and Simerly, 1995, Robinson, 2013).

The identification and selection of potential participants based on the familiarisation criterion were done using two methods: visiting the websites of organisations which were included in the list provided by ANTAQ; and/or using the internet search engines (i.e., Google) to look for information about each company's involvement in CSP management (e.g., public reports or advertisement about campaigns in the social dimension). When it had been verified that a particular port organisation was familiar with practices adopted in the social dimension, a search using LinkedIn was performed to identify potential participants holding managerial positions within the specific organisations. More details about

the process of recruiting participants for the Phase 1 interviews is provided in Section 4.7.6. The next subsection provides more details about the interview instrument developed to collect data in Phase 1.

4.6.3 Interview Questionnaire

Based on parameters proposed by different scholars (Gray, 2013, Creswell, 2009, Saunders et al., 2009, Silverman, 2015), a questionnaire for telephone interviews was developed to facilitate and maximise participants' contribution to the data collection process. This study also followed the suggestion from both Seidman (2013) and Silverman (2015) to use its research questions as the basis for questionnaire development so as to ensure that data collected is pertinent to the objectives of the study. Moreover, other scholars (Creswell 2009; Gray 2013; Saunders, Lewis & Thornhill 2009; Silverman 2015) also emphasised that a well-planned and well-prepared questionnaire helps ensure a standardised procedure during and across them the interviews. In particular, four main aspects of planning and preparation were considered important for this study: flow, the format of the questions, the length of the questionnaire and the quality assurance of the questionnaire.

Firstly, the flow of the interviews was an important consideration according to Saunders, Lewis & Thornhill (2009), and so the content and sequence of interview questions followed the sequence presented in Section 4.3. This study also followed suggestions from Jacob and Furgerson (2012) to establish a smooth flow during the interview process by developing an interview which begins with less complicated

questions and moves towards more complex questions during the course of the interview.

Secondly, to help ensure alignment between the answers to questions and the research objectives, as suggested by Burke and Miller (2001) and Seidman (2013), open-ended and expansive questions were developed, rather than closed questions that could only provide binary yes-no answers. Special attention was also paid, however, to designing a script which could keep participants' answers within the boundaries of the interview questions and minimise answers disconnected to the topic (Jacob and Furgerson, 2012, Burke and Miller, 2001).

Thirdly, the length and format of the questions were designed to ensure the quality and objectivity of the questionnaire (Jacob and Furgerson, 2012). Special attention was given to details such as wording and tone of questions, to avoid participants' perception that they were involved in an interrogatory procedure. Also, each interview was conducted using the same structure, to ensure consistency across the data collection process (Silverman, 2015, Seidman, 2013).

Fourthly, a review of the questionnaire based on the aspects mentioned above, was conducted with peers experienced in the use of research interviews. This peer review included this study's supervisory team and academics from other universities, whose insights helped refine the interview questions. Particular attention was given to potential problems related to lexical meaning, idiomatic meaning, grammar and syntax issues, and to experiential meanings (Saunders et al., 2009, Silverman, 2015, Jacob and Furgerson, 2012).

The final version of the questionnaire is presented in Appendix B.1, in both Portuguese and English versions, titled ‘The interview script’.

4.6.4 The Pre-Testing Procedure

Saunders, Lewis & Thornhill (2009) emphasised the importance of a pre-test procedure to prove and improve the validity and reliability of data gathered during the real interviews. Aspects considered during the pre-test included but were not limited to: the confirmation that the interview questions were understandable; the solution of potential issues identified during the pre-test, the identification of possible questions that could arise from interviewees, the necessity to give interviewees information before their interview, the testing of recording equipment to be used during interviews, and the estimation of the time necessary to complete each interview. Burke and Miller (2001) emphasised the importance of such pre-test checks for ensuring that the information presented to participants is clear and understandable.

The pre-test procedure for this study included the assessment of three documents, including the interview questionnaire, the invitation letter to participants, the participant’s information sheet and the consent form. The consent form sought participants’ authorisation to have their data included in the study, and their permission to record the interviews. All these documents were pre-tested by a group of eight (8) academics from the Australian Maritime College (AMC), formed by PhD candidates (4) and research staff members (4). Additionally, two (2) Brazilian academics and two (2) ports professionals from Brazil pre-tested the questionnaire reading it and making comments about the content.

Documentation related to the interviews has been produced in both English and Portuguese versions. The English version has been used for publication purposes and discussions within the research group, while the Portuguese version has been used in the interviews process and data analysis. Translation of languages in research such as this risks a loss of meaning (Polit and Beck, 2010, Leung, 2015). To overcome this potential problems, a thorough back and forth process of translation was conducted with research team members and the two academics in Brazil, to ensure that in all the documents, the information collected and analysed conveyed the same meaning in the two idioms (Leung, 2015).

This study adopted the suggestion from Gray (2013) to conduct pre-test interviews using a standardised protocol, ensuring a controlled environment for the procedure assessment. Therefore, two (2) professionals were interviewed for the pre-test using the same interview set-up planned for the real event (i.e., recording procedure, the standard questionnaire, & time control). From the peer review feedback process, more work was done on the standardisation of terms, objectivity while asking questions, and taking a professional stance during the interviews (e.g., make the interview conversive). During the two pilot interviews, this researcher observed variation in duration, taking thirty-seven (37) minutes and twenty-nine minutes (29) respectively. The pilot interviews also provided confirmation from participants about the suitability of the communication, desired comprehension of the interview questions, and the comfort of participants undertaking the interview process. No significant negative aspects were identified concerning the infrastructure and devices used in the interviews, and therefore, the documents planned for interviews were considered ideal for the real process.

Once the pre-tests were concluded, the package of documents was submitted to the Tasmanian Social Sciences Human Research Ethics Committee (SSHREC) for ethics approval before the execution of the interviews.

4.6.5 Ethics Approval

As the data collected involved human participation during the study, it was necessary to ensure the SSHREC's approval before the start of the interviews. The primary reason for ethics approval is to ensure that all possible care is taken not to harm or prejudice participants during the process. Gray (2013, p. 235) argued that 'the central ethical issue surrounding data collection through interviews is that participants should not be harmed or damaged in any way by the research'. Considering its use of telephone interviews, this study has paid particular attention to confidentiality, which could be broken if, for example, the content in the recordings or the transcriptions of interviews was leaked, shared or published and exposed participants' identities. Therefore, the Ethics Committee's approval of the study was dependent on pre-emptive measures and planned counteractions designed to avoid any breaches of confidentiality (Saunders, Lewis & Thornhill, 2009).

The ethics submission for this study was based on the minimum risk requirement according to standards defined by the National Statement on Ethical Conduct in Human Research (NSECHR) (Council, 2007). In this regard, the submission fulfilled all the requirements presented in section 4.8 of the NSECHR, explaining clearly how each one of the ethical risks was to be identified and mitigated.

The email content addressed to participants, the consent form, and the information sheet were all submitted for ethics approval. Copies of these documents are

presented in Appendices B.2, B.3, and B.4, respectively. Silverman (2015) suggested that both consent forms and information sheets should be of easy comprehension by participants, with the objectives of the interview process explained. The information sheet was designed to answer central questions of interest to the participants, including how the researcher identified them, why their participation was considered valuable, the potential risks and benefits to them, and what were the objectives of the study. The informed consent form aimed to present a clear description of participants' voluntary option to join the study, and to clarify their rights and the potential risks linked to the interview process (Silverman, 2015, Creswell, 2009, Creswell and Clark, 2007, de Vaus, 2001, Saunders et al., 2009). Taking Burke and Miller (2001) and Jacob and Furgerson's (2012) suggestion, the interview preamble was also submitted for Ethics Committee approval to ensure that the questions put to participants did not pose any risk to their integrity in the context of the study's objectives. A summary of the documents submitted to ethics and the main ethical aspects related to them is presented in Table 4-1.

Table 4-1 Summary of documents for ethics approval

Document	Objective	Ethics perspective
Invitation letter	Invite participants to the interview process and clarify to them how and why the process is being conducted. Informed also the procedure requirements (e.g., expected duration of interviews) and the number of reminders that would be sent to participants.	Ensure that the invitation was done professionally, without being intrusive or misleading concerning information about the interview process.

Table 4-2 Summary of documents for ethics approval (Cont.)

Document	Objective	Ethics perspective
Information sheet	Inform participants about the key aspects involved in the research and the interview procedure.	Ensure that participants received all relevant information about the process, the risks involved in it, and to acknowledge the measures taken by the researcher to mitigate the risks.
Consent Form	Confirm the authorisation of participants to participate in the process and when possible, record the interviews.	Ensure that no data was collected or recorded without the permission of participants.
Interview Preamble	Present the nature and content of questions planned to be asked to participants.	Ensure that content and language used were in line with the professional standards of research.

The ethics request for approval was lodged on 7th September 2018, with the reference number H0017643, and the approval was granted on the 11th October 2018.

4.6.6 Recruitment of Participants

Contact with and recruitment of participants began only after receiving ethics approval. One crucial measure adopted at this stage was to avoid any bias created by pre-existing relationships between the interviewer and interviewees. Such bias could, for example, produce tendentious data if interviewees preferred to avoid answering some questions due to concerns about potential conflicts or disagreement with the interviewer. Although not totally preventable, bias was mitigated by following standardised procedures during interviews, and by informing all participants of the rules developed based on scientific methods focused on interviews (Jacob and Furgerson, 2012, Burke and Miller, 2001, Seidman, 2013).

Participants were invited individually in a standardised email containing the invitation document package. Both Gray (2013) and Silverman (2015) argued that this option is one of the best methods for interview invitation in business research because of its formality, confidentiality, objectivity and the digital traceability of time and frequency of invitations. A copy of the Ethics Approval for this study was also presented to participants and is available in Appendix B.5 for consultation. In the email message to potential interviewees, a confirmation of their willingness to participate in this study was sought.

After the first email contact, if no response was received within a one-week interval, another email was sent as a reminder. After another week, if no response was received, a telephone contact to participants was attempted, seeking to confirm availability and interest to participate in the interview process. The telephone call was an option described to participants in the invitation email sent earlier. If a negative response to the written invitation or telephone contact was received, no additional contacts, requests or enquires were made.

Potential participants were contacted by the author between 23rd October 2018 and 8th December 2018. In total, eighty-three (83) invitations were sent, and only two (2) managers accepted to participate in the first invitations round. The second invitation round included seventy-five (75) reminders, of which fifteen (15) prompted affirmative replies. Another thirteen (13) participations were confirmed only after telephone contact was made.

4.6.7 Data Collection Procedure and Analysis Method

This subsection focuses on explaining data collection procedures and techniques used for data analysis. More detailed information about qualitative data analysis processes used in this study is provided in Chapter 5.

It is essential to note that telephone calls for the interview process were made from Australia to Brazil, and so interviews had to be planned around the time difference between both countries which varied between thirteen (13) and fifteen (15) hours at that time. The calls planning attempted, when possible, to find interview times that suited both interviewees and the interviewer. Participants were able to choose the best interview time according to their convenience, a point emphasised in the literature, designed to improve response rates (Burke and Miller, 2001, Jacob and Furgerson, 2012, Knox and Burkard, 2009, Seidman, 2013).

Telephone interviews were conducted inside a quiet room at AMC during evenings and nights between 26th October and 8th December 2018. The calls were done using mobile phone applications such as Skype or WhatsApp and recorded using a digital recording device provided by UTAS. A watch was used to control and record the time of the interviews for quality assurance purposes. However, as suggested by Seidman (2013), participants were given the freedom to expand their answers and extend the time of the interview if necessary. Overall, thirty (30) interviews were performed, with an average length of forty-three (43) minutes per interview. At the end of the process, two (2) interviewees requested the exclusion of their recordings from the analysis phase, and their interviews were discarded in accordance with the

rules presented in the participant's information sheet. Therefore, the final number of interviews included in the analysis of data was twenty-eight (28).

At the beginning of each interview, participants were informed of their right to refrain from answering any question, without any need for justification. Permission to record interviews was sought verbally for cases in which the consent form was not previously signed. All these procedures were presented to participants with transparency throughout the invitation and the interview processes, to maintain their comfort and confidence about confidentiality (Saunders et al., 2009, Creswell and Clark, 2007, Creswell, 2009, de Vaus, 2001, Gray, 2013).

Recording of the interviews was important to avoid misinterpretation of interviewees' meaning during the data analysis process. Moreover, side notes were also taken during each interview to record important details provided by participants which could facilitate cross-references of codes and themes between participants. While conducting interviews, quality control was ensured by following recommendations drawn from the literature. This involved respecting the integrity of the structure of the interview, the use of a friendly approach towards participants, the use of prompt follow-up questions in cases where an answer was not clear, time management, and, importantly, the capacity to listen more than talk (Seidman, 2013, Jacob and Furgerson, 2012, Burke and Miller, 2001). The recording of each interview was then transcribed, and interviewees were contacted individually to approve the content of the text file. The objective of seeking participants' approval was to ensure the data used in the analysis accurately reflected what the interviewees meant during their interviews and to ensure they were still comfortable with the confidentiality of the process (Knox and Burkard, 2009, Seidman, 2013).

Once final approval was obtained from interviewees, the whole set of transcriptions was uploaded for analysis in NVivo 12. The qualitative data analysis was undertaken using the conventional content analysis technique (Hsieh and Shannon, 2005) to form codes and finally, themes (Vaismoradi et al., 2016) that were later analysed. In the conventional content analysis, codes or categories of codes were developed directly from the text data (Hsieh and Shannon, 2005). These codes represent an idea or concept embedded in answers to the questions posed to participants, and these codes were considered the first level of data reduction in qualitative analysis (Elo and Kyngas, 2008). In the second level of data reduction, codes were grouped in themes, and are considered to be the answer to the research questions (Vaismoradi et al., 2016, Maguire and Delahunt, 2017). The use of thematic analysis was found to be more appropriate for this study when compared with other techniques (e.g., grounded theory), based on this study's aim to build the knowledge about CSP incorporation using participants' own explanations of how they understand the topic in ports (Vaismoradi et al., 2016). A thorough translation process was conducted during the content analysis, with the support of this study's supervisory team, to ensure that quotes from participants and themes developed conveyed the same meaning in both the Portuguese and English languages (Polit and Beck, 2010).

4.6.8 Validity and Reliability

According to Leung (2015, p. 325), validity means:

> … 'appropriateness' of the tools, processes, and data. Whether the research question is valid for the desired outcome, the choice of methodology is appropriate for answering the research question, the design is valid for the methodology, the

> sampling and data analysis is appropriate, and finally, the results and conclusions are valid for the sample and context.

Such validity has been sought from the very beginning of this study: when the SRQs were being developed, ensuring that they were answering the PRQ; during the development of the interview script for the qualitative phase, to verify that interview questions addressed the research questions (i.e., PRQ and SRQs); and, ultimately, to ensure the collection of data which can provide answers to the research questions (Polit and Beck, 2010).

The validity of the qualitative findings was strengthened through a range of means in this study, following suggestions from the literature: the use of a purposive sampling approach (Robinson, 2013, Guest et al., 2016); the selection of participants using criteria focused on the inclusion of different regions in Brazil; a focus on recruiting participants with knowledge about the topic under investigation (Noble and Smith, 2015, Golafshani, 2003, Morse et al., 2002); the recording of interviews, transcription, and the confirmation of data collected with participants (Leung 2015); and, finally, the use of a translation process, with support from the supervisory team, ensured that validity was not lost due to the use of different languages (Van Nes et al., 2010).

As well as validity, this study has also sought reliability, which Saunders, Lewis & Thornhill (2009, p. 488) defined as:

> The degree to which data collection method or methods will yield consistent findings, similar observations would be made, or conclusions reached by other researchers or there is transparency in how sense was made from the raw data.

Reliability was sought in this study by employing methods that allowed the author to replicate procedures across all the interviews, and which can be replicated in any future research to compare current and future results (Mills et al., 2009). This study sought reliability through the standardisation of the interview process (Gray, 2013), the pre-testing of interviews, and the training undertaken by the researcher to ensure interviews were conducted according to the highest standards outlined in the literature (Silverman, 2015, Noble and Smith, 2015). Reliability was also sought by using NVivo 12 software to compare and control information generated in different moments of the analysis, thus providing clarity about how outcomes were produced (Welsh, 2002, Bazeley and Jackson, 2013). Concerning the analysis of data, triangulated discussions within the research team helped ensure that the same criteria were used to define the themes and ensure their continuity of meaning throughout the study (Leung, 2015). A more in-depth explanation of the process of themes construction is presented in Chapter 5.

4.7 Phase Two - The Quantitative Phase

This section describes the development of methodologies used in this study for data collection and analysis in Phase 2. This phase aimed to extend and confirm results obtained during the Phase 1 interviews by collecting data from a larger part of the target population of port managers in Brazil.

4.7.1 The Target Population: A Census Approach

In the quantitative phase of this study, the census approach was adopted for data collection. The census approach was found to be most appropriate for this phase of the study because allowed the study to encompass the targeted population of two-

hundred and five (205) organisations, and to subsequently draw representative results about the population under analysis (Toepoel, 2015). The objective of the recruiting strategy was to include one member from each of the organisations included in the ANTAQ's list within the sample. The identification and recruitment of participants for this phase of the study were similar to that done during the qualitative phase, as explained below.

4.7.2 Participants Identification and Selection Criteria

Although the census approach was adopted in this study's quantitative phase, differing from the quota sampling adopted for the qualitative phase, the criteria used to identify suitable and potential participants were similar to those established for Phase 1. Participants selection focused on representatives of ports in high-level roles/positions and in charge of making decisions that could influence the incorporation of CSP in their organisations (Silverman, 2015, Jacob and Furgerson, 2012). In Phase 2, organisations were not required to have presented any report or public notice of the adoption of actions in the social dimension of their business management.

The identification of participants was again done using the internet platforms LinkedIn and Google to identify managers inside organisations. Priority was given to recruiting participants linked to CSP management inside organisations, but where they were not accessible/available, other senior managers were contacted and invited to participate in the online survey. To avoid biased results, in cases where the port representative had already participated in the interview phase, another

member of the organisation was invited to respond to the web survey (Manner, 2010).

Defining clear criteria for the selection and identification of participants was essential to ensure the validity and reliability of the data collected (Creswell 2009; Saunders, Lewis & Thornhill 2009). By doing so, some issues could be avoided, such as the contamination of results from data generated by guessing or careless responses which could hinder the development of accurate understandings of CSP incorporation in ports (Saunders, Lewis & Thornhill 2009).

4.7.3 The Web Survey Design

In accordance with the exploratory sequential mixed-methods research design of this study, the main objective of the quantitative phase was to explore more in-depth how findings from the interviews could be generalised across a larger part of the target population. The quantitative phase also provided an excellent opportunity to ascertain how different aspects of CSP were comprehended by participants, in line with the research questions produced for the study (Morse, 1991). Several studies reviewed in the literature had previously employed the same sequential mixed-methods framework, which provided confidence in adopting a similar strategy for this study (Kelle, 2006, Sandelowski, 2000, Harrison and Reilly, 2011, Cameron, 2009, Berman, 2017). Each item/question in the web-survey was designed to extract from participants their perceptions concerning the incorporation of different aspects of CSP in port organisations. Details about how each item of the questionnaire was developed from the interview findings are provided at the end of Chapter 5, after

the qualitative data analyses. A short description of the questionnaire sections is available below.

Section A of the survey questionnaire gathered information about participants' demographics (i.e., geographic region, position inside the organisation, years of working experience, and type of cargo handled by the organisation). In this section, single or multiple answers were accepted, depending on the information sought. The data collected in this section was used only to represent more details about the profile of participants in the survey.

For items in sections B to F, a five-point Likert scale was employed to collect answers. This option has been found a useful methodological instrument to reflect perceptions about constructs and dimensions explored with the research questions (Cummins and Gullone, 2000). The five-point Likert scale was able to represent the intensity and the direction of participants answers and provided data relevant to the objectives of this study by answering the research questions (Cummins and Gullone, 2000, Matell and Jacoby, 1971). For sections B, C.1, D.1, E.1and E.2, the five-point Likert scale was used to make explicit the orientation and level intensity of results (i.e., towards negative or positive directions), with a middle point representing neutrality of participants (i.e., neither agree nor disagree) (Matell and Jacoby, 1971, Cummins and Gullone, 2000). In sections C.2, D.3, E.3 and section F, the scale followed a continuous spectrum, from the lowest to the highest scores, encompassing different aspects related to the topic under investigation (i.e., the level of importance perceived by participants or the level of incorporation of indicators). In all sections, except in section A, participants were given the option to answer 'I do not know' where they felt unable to answer questions. The 'I do not

know' data was later considered as missing information, and appropriate treatment was given to it during the statistical analysis of data (Dong and Peng, 2013, Saunders et al., 2006). At the end of sections B to F, participants were given free rein to express any further opinions using a free text writing option.

The development of the survey instrument also took into consideration participants' comfort, including the clarity of questions and accessibility to the survey-instrument. Instructions were prepared to inform participants about what was expected of them (Saunders, Lewis & Thornhill, 2009), and an organised layout was designed to ensure easy navigation through the questions (Singleton and Straits, 2010). An attractive interface is considered one of the most effective ways to increase the response rates of web-surveys, thus providing the potential for substantial improvements in the quality of results (Saunders, Lewis & Thornhill, 2009; Singleton & Straits, 2010).

The web-survey was designed using the Lime Survey application, a survey resource provided by UTAS at that time. As an internet-based application, Lime Survey allowed participants in Phase 2 of this study to respond according to their availability and their location and using different browser configurations on computer screens, mobile phones or tablets (Gray, 2013, Saunders et al., 2009, Singleton and Straits, 2010). Because Lime Survey was part of the UTAS application portfolio, the security of the data was ensured by the policies and procedures of the university, minimising the risk of any breach of confidentiality or loss of data. Each participant accessing the link to the survey using this application was not identified, thus making their participation in the process confidential.

Overall, the questionnaire was organised as follows.

Section A – Demographics (5 items): collected demographic information from participants.

Section B – The comprehension of CSP in ports (6 items): explored the comprehension of CSP according to managers' perspectives.

Section C – The social roles of ports (11 items): explored perceptions about how the social roles of ports were comprehended and what significant factors would motivate managers to engage in a social role.

Section D – Management of social impacts in ports (13 items): explored perceptions about how social impacts were managed inside ports, and what criteria were used to prioritise social impacts according to managers' perspectives.

Section E – The management of stakeholders in CSP (10 items): explored perceptions of how relationships with stakeholders were developed in ports, and how criteria to prioritise these relationships were considered according to managers' perspectives.

Section F – Social indicators incorporation in ports (44 items): explored managers' perceptions about the organisations' level of incorporation of CSP indicators.

Based on recommendations from the literature, the answer provided by each participant for each item was voluntary (Babbie, 2015, Creswell, 2009, Rovai et al., 2013, Bryman and Bell, 2015), and participants were informed that they could skip questions or abandon the answering of the questionnaire at any time. Participants

were informed to expect it would take between fifteen (15) and twenty (20) minutes to complete the survey. Only questionnaires actually submitted by participants were accepted as part of the survey, meaning that abandoned, incomplete and un-submitted surveys were not included in the final results. Table 4-2 summarises the number of sections, the types of questions, number of questions per section, and the scale used to answer questions.

Table 4-3 Summary of questions design for the web survey

Section	Type of question	Number of questions	Scale type
A	Demographic information	5	Multiple choice and single choice answers
B	Comprehension about CSP in Ports	6	5-point Likert scale
C	The social roles of ports	11	5-point Likert scale
D	Process of social impacts management	13	5-point Likert scale
E	Processes of stakeholders' relationship management	10	5-point Likert scale
F	CSP Indicators incorporation in ports	44	5-point Likert scale

Following the same preparation procedure developed for Phase 1, printed versions and the online version of the questionnaire were used in pre-testing. Both electronic and hard copy versions were prepared in both the English and Portuguese idioms, with the necessary back and forth translation procedures discussed with the supervisory team. The objective was to avoid idiomatic issues as considered in the qualitative phase. The printed versions of the questionnaire were used for written comments by peers and research team members at AMC, and the electronic version

was used by pilot testers in Brazil to provide feedback about the functioning of the application and necessary adjustments to the content of the questionnaire (Creswell, 2009). For publication purposes, only the Web Survey Questionnaire is presented in both English and Portuguese version in Appendix C.

4.7.4 The Pre-Testing Procedure

Saunders, Lewis & Thornhill (2009) suggested the pre-test is an essential part of refining a web survey questionnaire so that real respondents will have no problems answering the questions, and so the research team will have no problems collecting and recording data. Considering that during the web survey process, contact between the researcher and participants only happened through the computer interface, with no adjustment possible as the data collection progressed, the pre-test became the only moment where adjustments and clarification could be done (Toepoel, 2015).

Moreover, scholars suggested that the use of the pre-test is a way to enhance the effectiveness of the survey instrument (Creswell, 2009), and, as a consequence, help increase participation and response rates (Saunders, Lewis & Thornhill, 2009). To ensure effectiveness, Gray (2013) argued that a pre-test can be used for the identification and correction of critical issues, including the use of prejudicial language, imprecision, formulation of leading questions, double-headed questions, assumptive questions, hypothetical questions, and relying on the memory recall of participants.

All those selected to pre-test the Portuguese and English versions of the web-survey were asked to report any of the issues mentioned above. An examination of their

feedback aimed to help avoid misunderstandings or misleading answers, to minimise any bias in responses cause by the wording used, to identify questions potentially offensive to participants, and to avoid questions assuming facts which are unknown by participants (Gray, 2013). Effectiveness was also assessed using pre-testers' feedback about the length of the web survey, its graphic design, the clarity of instructions, the difficulty of answering the items proposed, and the time spent in completing the web survey (Creswell, 2009, Creswell and Clark, 2007, Gray, 2013, Saunders et al., 2009).

A total of fifteen (15) AMC representatives, including the supervisory team members, other research supervisors and peer PhD candidates, were invited to participate in the pre-test phase of the questionnaire English version. The feedback received from these participants included remarks related to the need to improve the visual quality of the supporting documents, the improvement of functions adopted in Lime Survey tool (e.g., coding of answers), comments about the formulation of the questions (e.g., language employed), comments about the consistency on the scale design and comments about their previous experience designing questionnaires (Saunders, Lewis & Thornhill, 2009). All of the items reported in the feedback of pre-testers were taken onboard and adjusted before the pre-test of the Portuguese version.

After the pre-tests in English, twelve (12) participants, including academics, professionals working in ports, and the researcher's acquaintances were invited to pre-test the Portuguese online version of survey questions. Attention was given to the translation of the English version to ensure that the Portuguese items had the same lexical/idiomatic/experimental meaning, and to confirm that grammar/syntax

issues were not present (Saunders, Lewis & Thornhill, 2009). Four (4) participants with knowledge of both English and Portuguese languages had access to both versions of the questionnaire and were thus able to compare versions and confirm that the meaning of the questions was consistent in both versions. This approach was referred to by Saunders, Lewis & Thornhill (2009) as the parallel translation technique, considered adequate in these scholars' view in studies where different languages are used for data collection. Minor adjustments were made based on the feedback of participants, most of them related to lexical meaning (the precise meaning of words) and idiomatic meaning (the meaning of a group of words). Overall, the twenty-seven (27) pre-tests performed in English and Portuguese, were considered sufficient, given that the literature suggests numbers above 10 for questionnaires with the same characteristics (Saunders, Lewis & Thornhill, 2009).

Finally, after the adjustments were completed, the whole set of documents included in the quantitative phase of the study was submitted for Ethics Committee approval.

4.7.5 Ethics Approval Submission

Final versions of the web-survey documents (i.e., the invitation letter, the participant information sheet, a PDF version of the web survey, and a web link to the electronic version of the survey) were submitted to the SSHREC as an amendment to the original ethics submission. This process turned out less complex when compared with the interviews, mainly because the confidentiality requirements were not onerous. The Lime Survey application does not allow participants to be tracked or identified at any moment of the survey because the configuration of the instrument was set not to record any identifying data (e.g.,

email address, IP address, date/time of the survey). Thein terms of obtaining informed consent for this phase of the study, participants were informed that the submission of their completed questionnaire implied consent for having their data included in the research.

The ethics amendment was submitted to SSHREC on 8th July 2019, and approval granted on 9th July 2019. A copy of the email confirming SSHREC approval is available at Appendix C.2.

4.7.6 Survey Administration

E-mails were the only tool used for participants' recruitment. E-mails were preferred over other platforms such as messages in LinkedIn because, in the second, participants were not reachable through private messages without being connected to the researcher network. Moreover, e-mails made it easier to manage the number of messages sent to participants and the intervals between them.

Each e-mail inviting participants contained the link to access the web survey and the participant's information sheet. Copies of the documents used for the recruitment process in this phase are available in Appendix C.3. In the web survey invitation letter, and participants were given standard information about the study, including a short explanation of the research objectives and a brief explanation of the reasons why they were invited to participate. The participants' information sheet contained more detailed information about the procedures adopted by the researcher during the data collection, including assurance of confidentiality and affirming their right to voluntary participation (de Vaus, 2001, Saunders et al., 2009, Creswell and Clark, 2007). All documents emphasised to participants that their consent was

assumed at the moment they submitted their survey responses at the end of the process.

Three (3) reminders were sent to participants in addition to the initial invitation. The interval between the initial invitation and the reminders was ten (10) calendar days. The use of reminders was a strategy adopted to increase the response rate (Saunders et al., 2009, Singleton and Straits, 2010, de Vaus, 2001). The frequency and content of the reminders were carefully considered by the author to avoid being inconvenient or invasive of participants' privacy (Creswell and Clark, 2007). In cases where participants expressed a desire not to participate or confirmed voluntarily that they had already completed the survey, no additional reminder was sent. In cases in which participants explicitly said they would not participate in the survey, another participant inside the same organisation was invited to take part in the study. An additional measure used to increase the participation rate was the offer to include participants in a raffle giving away two individual prizes of R$ 100.00 (one-hundred Brazilian Reais). Participation in the raffle was also voluntary, and winners were selected randomly based on email data provided. To ensure confidentiality, after finishing the survey questions, participants were directed to another webpage where the raffle information was treated independently from the survey data collection process.

The recruiting of survey participants and data collection occurred between 16th July 2019 and 30th September 2019. The results of the survey and more detailed data about the process are further discussed in Chapter 6.

4.7.7 Data Analysis

In the quantitative phase of this study, a combination of descriptive and inferential statistics was employed to analyse the data collected.

Descriptive statistics were used to discuss how participants' opinions clustered around specific values of the response scale, suggesting the ruling perspective presented in the sample (Loether and McTavish, 1974, Janes, 1999, Fisher and Marshall, 2009). The main measures used in this analysis included the mean, representing the average response for each item, and the mode, representing the value of the scale chosen more frequently by participants. The standard deviation was also included in the descriptive analysis to evaluate the dispersion of the responses departing from the central value obtained from the mean. These analyses were of interest because they were a good indication of participants' perceptions about the different items included in the questionnaire (Loether and McTavish, 1974).

In terms of inferential statistics, the exploratory factor analysis (EFA) technique was adopted. The main objective of the EFA was to use analyses of the sample to identify the underlying factors or constructs that represented the ideas/concepts related to CSP incorporation indicators (Yong and Pearce, 2013, Williams et al., 2010, Costello and Osborne, 2005). The EFA used only data collected in section F of the questionnaire, which explored how participants perceived the incorporation of social indicators in their organisations. The analysis of descriptive statistics and EFA were done using the Statistical Package for Social Science Software (SPSS) version 26.

The EFA was found sufficient and not necessary to be followed by the Confirmatory Factor Analysis (CFA) due to the exploratory nature of the study. As compared by Williams, Onsman & Brown (2010, p. 3)

> In EFA, the investigator has no expectations of the number or nature of the variables and as the title suggests, is exploratory in nature. That is, it allows the researcher to explore the main dimensions to generate a theory, or model from a relatively large set of latent constructs often represented by a set of items. Whereas, in CFA the researcher uses this approach to test a proposed theory (CFA is a form of structural equation modelling), or model and in contrast to EFA, has assumptions and expectations based on priori theory regarding the number of factors, and which factor theories or models best fit.

At the end of the quantitative data analysis, the results from both phases of this study were triangulated and discussed together to yield answers to the SRQs and the PQR. Saunders, Lewis & Thornhill (2009) referred to the triangulation approach where two or more independent sources of data or data collection methods are used to corroborate research findings within a study. A detailed discussion of the method

and the outcomes of the process represented in Figure 4-5 are presented in detail in Chapter 7.

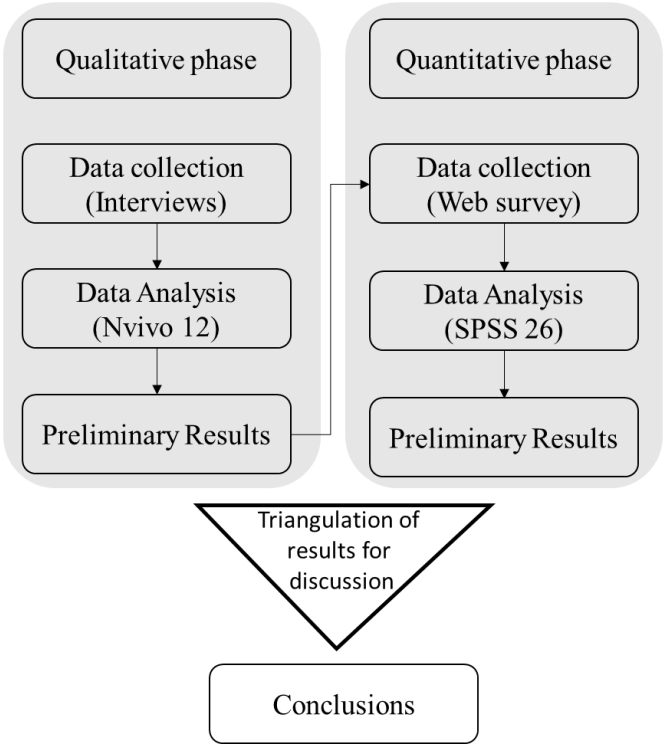

Figure 4-4 Data collection and analysis representation of this study

4.7.8 Reliability and Validity

Reliability in quantitative studies refers to the extent to which the data collection and/or analysis procedures yield consistent findings (Saunders, Lewis & Thornhill, 2009). The main concerns about reliability and validity in the quantitative phase of this study were related to the replicability of results, replicability of observations, and transparency about how the data was interpreted. To ensure how this was obtained, a few aspects from the literature discussing reliability and validity were considered.

Reliability concerns linked to participant errors and biases and aimed to avoid misleading answers. Therefore, to avoid answers that did not reflect participants

real perceptions, during the development of the web survey instrument the configuration of the application allowed the voluntary participation, the option to respond to question as “I do not know” instead of guessing answers, the use of the same structure of questionnaire with all participants, and the clarity of instructions provided during the process to all participants (Saunders et al., 2009, Creswell, 2009). Moreover, the pre-tests performed in this phase allowed the author to check and correct any problems linked to the reliability of answers, and to ensure that all data collection was performed using the same procedures. Finally, construct reliability was tested in the different sections of the questionnaire using the Cronbach-alpha value close or above 0.7 (Gliem and Gliem, 2003, Bernardi, 1994). Table 4-3 presents the overall results for the reliability analysis of Cronbach’s Alpha coefficient.

Table 4-4 Cronbach's Alpha coefficient of survey items

Scale/Construct	Number of Items	Cronbach's Alpha
B: The understanding about CSP	6	0.756
C.1: The social roles of ports	5	0.707
C.2: Reasons to adopt a social role	6	0.781
D.1: Social impacts management practice	4	0.692
D.2: Priority criteria for social impacts mitigation	9	0.796
E.1: Preparedness to manage different stakeholders	2	0.800
E.2: Stakeholders' management practice	4	0.835
E.3: Priority criteria for stakeholders’ management	4	0.657
F: Social indicators incorporation by ports	44	0.969

Validity is concerned with whether research findings are really about what they appear to be about, and, in the case of external validity, concerned with the extent to which results can be generalised (Saunders, Lewis & Thornhill, 2009). Valid data in both scenarios depends on the source of the data collected, but also on the methodology used to collect and to analyse this data.

Validity in the quantitative phase of this study was sought mainly by ensuring that the sampling process was carefully considered to allow the participation of key informants with knowledge about how ports were managed (Creswell, 2009, Babbie, 2015) and the use of an instrument to collect data that accounted for potential biases and/or pre-conceptions about the concepts being explored (Creswell, 2009, Saunders et al., 2009, Matell and Jacoby, 1971). Further to these measures, a non-response analysis was conducted confirming that the rate of non-responses per item was within parameters recommended by the literature (Hair et al., 2010), and that non-response occurred at random (i.e., no specific reason for non-response was detected) (Dong and Peng, 2013). Finally, no response bias was also tested, considering the three waves of invitation and reminders, finding no significant variation in results that suggested any bias (Armstrong and Overton, 1977). The results of the no response bias analyses are presented in Appendix D.

For the EFA, validity was also verified through analysis of the normality of data, the Kaiser-Meyer-Olkin (KMO) method, analysis of communalities, Bartlett's test of sphericity and the Common Method Bias analysis (Brown, 2006, Yong and Pearce, 2013, Williams et al., 2010, Costello and Osborne, 2005). All the items analysed confirmed the validity of the data collected for this study. A detailed description of the results is presented in Chapter 6.

4.8 Summary

This chapter discussed this study's guiding research philosophy, its research approach, research design, the ethics approval process, and the development of procedures for data collection and analyses.

Based on the study's pragmatic research philosophy, this chapter explained the reasons that led to the adoption of a mixed-methods approach to data collection and analyses. This chapter also described how all possible measures were taken in this study to ensure the validity and reliability of the data collected across its two sequential phases.

A brief explanation about achievements in each phase of data collection (i.e., interviews and web survey) was presented, with more detailed information to be provided later in chapters dedicated for separated data analysis (i.e., Chapters 5 and 6, respectively). A triangulated analysis of results and discussions guiding the answers to the research questions is presented in chapter 7.

Chapter 5: Qualitative Data Analysis Results

5.1 Introduction

The previous chapter described the methods employed by this study. This chapter presents the qualitative analysis results, an output of the telephone interviews done in the first phase of data collection. Along the sections, there are more details about the analyses of the interviews, including methods and rationale. The qualitative analyses results described in this chapter have served two distinct purposes throughout this study: first, they served as the basis for the development of the web survey questionnaire used in the quantitative second phase of this study (see Chapter 6); and, secondly, these qualitative strands of data from Phase 1 were later triangulated with the analysis results of the data gathered through the web survey in Phase 2.

This chapter begins with the examination of the demographic information of the twenty-eight (28) managers who participated in telephone interviews for this study, followed by the presentation of the rationale employed in the content analysis of interviews' transcripts. The themes that emerged from the content analysis are presented, and then this chapter concludes with an explanation of how these qualitative findings were used as the basis for the web-survey employed in Phase 2 of the study. The next section examines the demographics of interviewees who participated in Phase 1 of the study.

5.2 Response Rate and Respondents' Profile

In total, eighty-three (83) managers were invited to participate in the interview process for Phase 1 of this study. The minimum sample of participants per region

was achieved (calculated in the quota sampling strategy described in Chapter 4), with the Southeast, Northeast and North regions all having numbers above the minimum planned. Information about the number of participants recruited, the target number of interviews per region, and the response rates are presented in Table 5-1. From the total of eighty-three (83) managers invited, thirty (30) agreed to participate in the interview process. From these thirty (30), two (2) withdrew at the end of the interview process and asked to have their data pulled out of the study. The reason given by both participants for their withdrawal from the study was that they felt uncomfortable about having their data used for publication purposes. This left twenty-eight (28) interviews in the final sample for qualitative data collection. This number exceeded the target number of interviews by 40% and achieved an overall response rate of 36%.

Table 5-1 Description of interviews outcomes per region

Region	The target number of interviews	Invitations sent	Interviews performed	Response rate	Interviews included in the study
S	4	8	4	50%	4
SE	6	31	14	45%	12
NE	3	22	4	18%	4
N	7	22	8	36%	8
Total	**20**	**83**	**30**	**36%**	**28**

In terms of geographic representation, eight (8) interviewees (28%) managed businesses located in the North region, four (4) (14.5%) in the Northeast region, twelve (12) (43%) in the Southeast region, and four (4) (14.5%) in the South region. In terms of gender, twenty-three (23) participants were men, and five (5) were women, giving a predominance of men in the group of managers included in the

sample. The average years of experience in the port industry reported by participants were eleven (11) years, with the most experienced manager having thirty-six (36) years and the least experienced with one (1) year in the role. The standard deviation of years of experience was six (6) years. Regarding their educational background, all twenty-eight (28) participants (100%) reported having done additional management specialisation courses in different business schools; ten (10) (36%) reported having a master's degree, and two (2) (7%) a PhD degree. Having participants with professional experience in port management and with tertiary qualifications helped ensure the validity and quality of the data obtained because participants with this profile tend to be able to share richer insights based on both their academic and professional knowledge (Harvey, 2011). Also, Zhao and Zhou (2019) argued that participants holding positions that influence overall business practices can provide data representing how a business theory, such as CSP, is adopted in practice by a specific industry.

In terms of ports ownership, twenty-five (25) interviewees (90%) worked for private organisations, while three (3) (10%) worked for public organisations. This meant there was a predominance of private sector perspectives in the sample. The cargo handled by interviewees' organisations included containers, soya beans, wheat, alumina, oilseeds, cellulose, fuel, iron ore, offshore support, general cargo, bulk oil, granite, sugar, ethanol or bulk steel. Some interviewees who represented organisations providing services inside the port area (e.g., energy generation companies or port authority) were also included in the study because their organisations were involved in the management of ports as well. Overall, the operational profile of organisations was diverse, ensuring that different views of the

management from different ports organisations were considered. For confidentiality purposes, interviewees were labelled as Tint, representing the acronym ‘Telephone interviewees’, and each individual was labelled with a numerical identification containing two digits (e.g., Tint_01, Tint_02). The information on each participant’s profile is shown in Table 5-2, and a summary of the demographics is presented in Table 5-3.

Table 5-2 Interview participants' profile

ID	Region	Gender	Designation	Academic Background / Highest level	Type of cargo handled	Port ownership nature	Experience (years)
Tint_01	S	male	Chief Executive Officer	Merchant Marine Academy / MBA	Container, Grains	Private	19
Tint_02	SE	male	Social Communication Coordinator	Business Administration / Masters degree	General Cargo	Public	7
Tint_03	S	male	HSE & Sustainability Corporate Manager	Mechanical Engineer / Business specialisation	Container, General Cargo	Private	11
Tint_04	S	male	Safety Health Environment Manager	Environmental and Sanitary Engineer / Business specialisation	General Cargo / Container / Bulk	Public	6
Tint_05	S	male	Institutional and Environmental Management	Business Administration / Masters Degree	General Cargo / Container / Bulk	Private	17
Tint_06	SE	male	Institutional Relations Manager	Business Administration / Business specialisation	Solid Bulk	Private	11
Tint_07	SE	female	Social Responsibility and Licensing Manager	Chemical Engineer / Masters Degree	Solid Bulk	Private	10
Tint_08	NE	female	Chief Compliance Officer	Degree in Education /PhD	General Cargo / Container / Bulk	Public	4
Tint_09	N	male	Safety Health Environment Manager	Forest Engineer / Masters Degree	Solid Bulk	Private	23
Tint_10	NE	male	Port Executive Manager	Metallurgical Engineering / MBA	Solid Bulk	Private	19
Tint_11	SE	male	Sustainability and Legal Director	Law degree / Business specialisation	General cargo / Bulk / Support	Private	1
Tint_12	SE	male	Corporate Communications Coordinator	Degree in Journalism / MBA	Container, General Cargo	Private	6
Tint_13	SE	female	Port Superintendent Director	Business Administration / MBA	Solid Bulk	Private	14
Tint_14	SE	male	Human Rights Manager	Economy Degree / Masters	Solid Bulk	Private	9
Tint_15	SE	male	Social responsibility and Institutional Relations Manager	Degree in Law / MBE	General cargo / Bulk / Support	Private	5
Tint_16	SE	male	Health & Safety, Environmental and Quality Manager	Degree in Oceanography / Masters Degree	Liquid Bulk	Private	10
Tint_17	N	male	Operations General Manager (Port)	Metallurgical Engineering / Business specialisation	Solid Bulk	Private	1

Table 5-2 Interview participants' profile (Cont.)

ID	Region	Gender	Designation	Academic Background / Highest level	Type of cargo handled	Port ownership nature	Experience (years)
Tint_18	SE	male	Port Operations Manager	Industrial Engineer / MBA	Solid Bulk, Liquid Bulk	Private	12
Tint_19	SE	male	CEO and COO	Metallurgical Engineering / Masters Degree	Solid Bulk	Private	12
Tint_20	N	male	Sustainability and Institutional relations manager	Business Administration/ MBA	Solid Bulk	Private	36
Tint_21	N	male	Sustainability manager	Business Administration / Business specialisation	Solid Bulk	Private	3
Tint_22	N	female	Communication & Community Relations Coordinator	Business Administration / MBA	Solid Bulk	Private	5
Tint_23	N	male	Sustainability Manager	Civil Engineering Degree / PhD	Solid Bulk	Private	8
Tint_24	SE	male	Port Operations Manager	Mechanical Engineer / Business specialisation	Solid Bulk	Private	30
Tint_25	N	male	Port general Manager	Business Administration / Masters degree	Liquid Bulk	Private	5
Tint_26	N	male	Logistics General Manager	Mechanical Engineer / MBA	Solid Bulk	Private	10
Tint_27	NE	female	Social Responsibility Analyst	Degree in Social Service / MBA	Energy production	Private	6
Tint_28	NE	male	Environment and Safety general manager	Environmental Control Technology / Business specialisation	Solid Bulk	Private	11

Table 5-3 Summary of participants' profile

	Participants' demographics	Number	Percentage
Region	South	4	14%
	Southeast	12	43%
	Northeast	4	14%
	North	8	29%
Gender	Male	23	82%
	Female	5	18%
Professional Experience	(Years)		Average = 10.3 Std dev = 5.6
Port Ownership	Public Ports Representatives	2	11%
	Private Ports Representatives	26	89%
Port set-up	Operational characteristics		Container, Soya beans, Wheat, Alumina, Oilseeds, Cellulose, Oil Fuel, Iron Ore, Energy generation, Offshore support, General Cargo, Bulk Oil, Granite, Sugar, Ethanol, Bulk (steel)

5.3 Data Analysis Method

Data from the Phase 1 interviews was analysed using the content analysis technique (Elo and Kyngas, 2008, Hsieh and Shannon, 2005, Vaismoradi et al., 2016). Hsieh and Shannon (2005) referred to three types of content analysis: conventional content analysis (CCA), direct content analysis (DCA), and summative content analysis (SCA). CCA, DCA and SCA are described by Hsieh and Shannon (2005) in the following ways: DCA is appropriate when the researcher seeks to validate or to extend conceptually, a theoretical framework or theory already established in that field of study; SCA is for research seeking to analyse the content of manuscripts or textbooks by using the frequency of words in the text to gain insight into its meaning; and, lastly, CCA is appropriate for research when existing theory or literature on a phenomenon is limited, drawing ideas and concepts from the interpretation of data provided by participants. This third type of content analysis, CCA, was considered most appropriate for this study because literature about CSP in ports was scarce at

the time of this research, and studies reporting specifically on CSP incorporation in ports could not be found as well. CCA was used to analyse data gathered from interviews and produce new knowledge about the topic.

The CCA started after audio recordings of each interview had been verbatim transcribed in a Microsoft Word file. The average duration of interviews was thirty-nine (39) minutes, whit the longest interview lasting sixty-nine (69 minutes) and the shortest thirty-two (32) minutes. Once a transcription was completed, the word file was sent to the relevant participant to confirm that the text in the document represented the views she/he wanted to share while answering the interview questions. Only after participants gave this final approval were files uploaded into NVivo 12, the software tool used to support analysis. Welsh (2002) recommended the use of computerised tools such as NVivo 12 because they allow the researcher to gather data in the best way and because through their analytic tools they provided robustness to the analysis process (e.g., gather, categorise, consider and compare data; track a large number of themes and their versions developed). The use of NVivo12 enabled better data management during the content analysis process, allowing multiple versions of analyses to be saved for further comparison and/or discussion with peers and research team members (Bazeley and Jackson, 2013, Morse et al., 2002). Comparing different versions of the analyses offered the opportunity to refine the outcomes of the analysis process.

Once each interview transcript was uploaded in NVivo 12, a familiarisation process with the data was performed. The familiarisation process included the meticulous reading and re-reading of the transcripts with two objectives in mind: 1) to start identifying concepts and/or categories arising from the interview answers provided

by participants (Silverman, 2015, Gibbs, 2007, Sandelowski and Barroso, 2003); and, 2) to continuously improve interview processes as they began to happen simultaneously with the CCA process. This reflexive process led to immediate improvements in methodology, with results from the first analyses prompting the addition of probe questions and the adjustment of the language used to communicate with participants (for a similar approach in the literature, please refer to Given (2008)).

The way the familiarisation process was used during analyses is described in sequence, followed by an explanation of how the process helped to improve telephone interviews with participants. During the analysis of the first interview question: 'What does CSP mean to you? Please explain with your own words', the first three interviewees provided responses which seemed to bear no relationship to the idea of corporate 'performance' in the social dimension. Their answers deviated entirely from the core objective of describing corporate social performance based on their point of view. This led to divergent answers detailing, for example, their level of agreement about their companies engaging in actions of the social dimension, and how important they found the topic of CSP in their business context, which not necessarily explained their view about performance in the social dimension. By becoming familiar with the interview process and continuously reviewing data collected, from the 4th participant onwards, it became clear that the way the question was asked had to be changed to ensure that their answers were provided in the context of corporate performance management. As an adjustment to the process, each subsequent interview started with a short reflection on the participant's understanding of 'performance' in general. Also, interviewees were

invited to think about what performance meant to them in different contexts. (e.g., How would you evaluate the performance of a car motor? How would you evaluate the performance of athletes in different sports?). As a result of this change, participants were able to provide different examples of aspects related to the subject 'performance', such as the definition of goals, development of processes to measure performance or the reference to metrics to evaluate performance. From this initial reflection, interviewees were then invited to answer what is the meaning of CSP from their point of view. The addition of this short reflection time allowed participants to start thinking about performance in the social dimension in the same way they understood performance in other contexts, thus adding clarity and focus to their answers regarding CSP. Similar adjustments were used in other interview questions to ensure that participants understood the context implied in the questions presented. This part of the familiarisation process helped promote greater engagement by participants in the interview process, helping to improve the quality of data collected because answers became more relevant to the topic under investigation.

Once data was completely uploaded in NVivo 12, and the content familiarised, the CCA coding process began, labelling ideas and concepts which emerged from participants' answers with simple words and expressions used to represent the main idea of their whole answers. The coding process used in this study was developed based on the work of Given (2008, p. 85), who described coding as:

> the process of generating ideas and concepts from raw data… it refers to the steps the researcher takes to identify, arrange, and systematise the ideas, concepts, and categories uncovered in the data. Coding consists of identifying potentially

> interesting events, features, phrases, behaviours, or stages of a process and distinguishing them with labels. These are then further differentiated or integrated so that they may be reworked into a smaller group of categories, relationships, and patterns so as to tell a story or communicate conclusions drawn from the data.

Vaismoradi et al. (2016) defined the creation of codes, also called categories, as the first descriptive level of text, the explicit manifestation of participants account about a subject under investigation, and the basic descriptors supporting the creation of the themes used later to cluster similar codes.

For this study, the coding process was done by reading interview transcripts, line by line, to detect words and sentences which represented key concepts in the context of each interview question, then creating labels that could be used to represent these concepts. An example of the coding process is provided below, using interview question C.1 (from Appendix B.1), 'What is the social role of ports?'

Following Udo (2014) suggestion, participants' answers were analysed in three stages: analysis of transcript, interpretation of the context involving the answer, and creation of a code representing the emerging idea. Three examples of the codes created from the question C.1 using this process are presented in Table 5-4.

Following suggestions from different scholars, once the first codes were created, each piece of text referring to them was revised to ensure that the code represented the main idea expressed in participants' answers (Mason, 2017, Silverman, 2015, Gibbs, 2007, Sandelowski and Barroso, 2003). During revision, if necessary, code labels were changed or merged into themes, to represent as much as possible the overall concept emerging from the content of the answers provided.

Table 5-4 Codes development for the question `What is the social role of ports`

ID	Analysis of the text passage	Interpretation in the context of CSP	Code created
Tint_06	`Today, I have the following perception about the social role that the port needs to have: we must become leaders inside society. No one may become to act as a manager without doing what society expects from you.`	The participant perceived the social role of the port as leadership in the social dimension, responding accordingly to the demands and expectations arising from the stakeholders.	To act as a society leader
Tint_27	`The port functions together with other segments of the industry. Therefore, it is necessary to orchestrate the actions of these different companies in the social dimension. Otherwise, if they work separately, actions will not be effective, and we are not able to achieve results as if we were working together.`	The participant considered the social role of the port as the capacity that brings together companies and links ports activities to work for a common objective to achieve higher results concerning CSP.	To connect companies and actions
Tint_28	`The role of the port in the social dimension is a leadership role. It is a leadership based on an example.`	The participant perceived the leadership role of the port based on the company's example. In this sense, the leadership is not only supported in words but supported on real actions that could be used as examples to be followed in the social dimension. In this case, the port should lead by demonstrating that actions developed by the business can be seen and followed by others.	To lead by example

Braun & Clarke (2006, p.82) defined a theme as a textual representation which 'captures something important about the data in relation to the research question and represents some level of patterned response or meaning within the data set'. Other scholars consider themes to be final products of qualitative data analysis, developed using constructs that emerge through the grouping of codes, and

representing the answers to the research questions (DeSantis and Ugarriza, 2000, Sandelowski and Barroso, 2003, Given, 2008). Vaismoradi et al. (2016, p. 101) emphasised that themes are:

> an implicit topic that organises a group of repeating ideas, enabling researchers to answer the study question. It contains codes that have a common point of reference and has a high degree of generality that unifies ideas regarding the subject of enquiry.

Table 5-5 presents how a theme (i.e., to act as a leader in the social dimension) was created based on codes grouping by similarities. Sometimes this happened based on a similarity of terms across different codes (in this example, use of the words lead or leader in the codes), and sometimes based on actions or behaviours that were expressed by the code. For example, Jogulu and Wood (2006) discussed how businesses orchestrate the actions of different parts involved in a process, showing an expected behaviour while exercising corporate leadership. So, when participants in this study referred to the ports' roles in connecting companies and actions, these comments were grouped as a leadership characteristic under the theme `to act as a leader in the social dimension`. The same logic was applied to coding for all the other questions of the interview.

The process of forming themes began by first defining all the codes, analysing their fit in the context of the question, and, in a later stage, merging similar codes to form themes used to represent the grouped answers from participants. It is necessary here to clarify the reasons that led to some themes being represented by only a few codes or even a single code only. The reason for having a theme formed by a small number of codes was because themes represented a unique idea that was worth being

considered in the analysis but would go missing if these themes were grouped with other hemes or discarded just because they were not referred by a significant number of participants (Braun and Clarke, 2006).

Table 5-5 Process of theme creation

Interviewee	Code created (Table 5-4)	Criteria used to cluster codes	Theme defined
Tint_06	To act as a society leader	Use of the term `leader` to refer to the social role of the port.	To act as a leader in the social dimension.
Tint_27	To connect companies and actions	Use of an expected characteristic of leadership to refer to the social role of the port (Jogulu and Wood, 2006).	
Tint_28	To lead by example	Use of the action `lead` to refer to the social role of the port.	

Figure 5-1 provides a summary of the steps involved in the conventional content analysis process, culminating in the creation of themes. The following sections present the outputs of the creation of the themes under the content analysis process adopted.

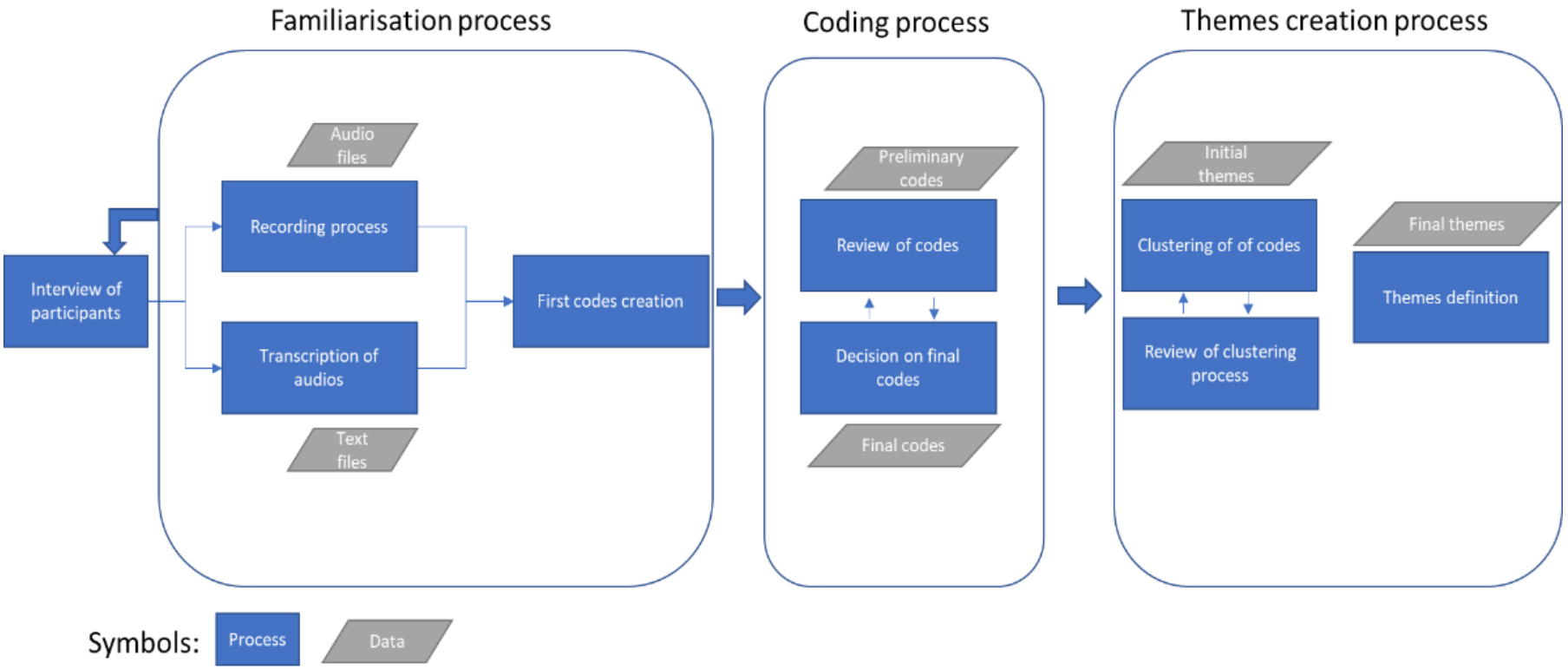

Figure 5-1 The process of conventional content analysis of this study

5.4 Results from Qualitative Analysis

Overall, the interview process encompassed eighteen (18) questions used to collect data to answer the four (4) SRQs. Because of the exploratory nature of the analysis, themes were generated without the use of pre-defined theoretical frameworks or sets of categories in which to locate them. Braun and Clarke (2006) suggested the use of this approach in thematic analysis for exploratory studies, especially when researchers have had little experience in qualitative research. The absence of pre-defined frameworks allows these researchers to ground their findings solely in the data collected, avoiding the need for them to force their findings into a pre-established theoretical framework (Braun & Clarke 2006).

The sequence of the presentation of the codes/themes creates during the analyses followed the same sequence as the interview questions. Each question referred to a specific research question group (e.g., SRQ1, SRQ2, SRQ3, SRQ4). They were organised as follows:

Section A: Three (3) general questions used for ice-breaking purposes and demographic data collection. This section did not seek to answer any specific research question.

Section B: One (1) question investigating comprehension of CSP (SRQ1);

Section C: Four (4) questions investigating the social role of ports (SRQ2);

Section D: Five (5) questions investigating the processes involved in CSP management (SRQ3); and,

Section E: Five (5) questions investigating how managers comprehend the CSP evaluation process (SRQ4).

The presentation of themes emerging from the analysis of each question's content was made through tables, which are presented in the following sections. It must be emphasised here that no status was given to themes based on the number of quotes they received (i.e., theme `x` is more important than theme `y` because it had more codes related to it). This is emphasised because 'the 'keyness' of a theme is not necessarily dependent on quantifiable measures – but rather on whether it captures something important in relation to the overall research question' (Braun & Clarke (2006, p. 82).

Although not coded and analysed like the other sections, the interviewees' comments at the end of interviews provided valuable feedback about how participants considered the relevance of the study for industry development. Their points of view about how the research could help improve port management in Brazil was endorsed by quotes such as:

- I think it is important to have studies like this done and shared with the business community, especially considering the changes that the world has gone through and the fact that ports will only survive if they consciously adopt social performance in their daily routine (Tint_10).
- I find this study very interesting because nowadays the discussion about the topic is too vague inside business. I see this study as an excellent tool to bring CSP discussion `to earth`, giving more precise definitions based on its overall understanding (Tint_16).
- I expect that this study can contribute to the improvement of ports' operations and image, causing less impact on the environment and consequently on society (Tint_23).

The following sections report the themes that were drawn from the answers to respective research questions.

5.5 The Comprehension of CSP by Managers in Ports

Each table presenting themes in this section includes the name of the theme and the number of participants quoting that theme. No conclusions were drawn at this stage of the analysis based on numbers of quotes, and so this information served only to present results that will later be triangulated in the analysis in Chapter 7. For each table presented in this current chapter, in Appendix E, it is described the codes considered in the theme's creation as supporting material for a better understanding of the content analysis process.

This section presents the themes produced based on answers to question B.1 where participants were required to explain, with their own words, their understanding of the term CSP. Five themes emerged from their answers: social development, interaction with the external environment, social performance indicators, social impact management, and compliance. These themes are presented in Table 5-6.

Table 5-6 Themes based on managers' understanding of CSP in ports

Theme	Participants referring to the theme
Social development	9
Interaction with the external environment	9
Social performance indicators	7
Social impacts management	4
Compliance	2

Nine (9) interviewees indicated their understanding of CSP as aspects linked to the social development that could be created from a company's business activities. For example, participants referred to ports' participation in regional development (Tint_01), ports as a vector for social development (Tint_04), the legacy that a port produces in the region where it has been located (Tint_12), and the fulfilment of corporate social responsibilities that allow social development (Tint_19). The statement from Tint_25 that 'CSP is what the company returns to society voluntarily, developing the well-being of those around it' demonstrates the expansive meaning of regional development when linked to CSP.

Another nine (9) interviewees considered CSP to be how the port interacted with its external environment. This included interaction with governmental regulators (Tint_05), interaction with communities (Tint_14, Tint_18, Tint_28), or interaction with stakeholders other than communities (Tint_08, Tint_02, Tint_21, Tint_26). As stated by Tint_08, interaction with the external environment is related to 'the relationship developed by the company that goes beyond its physical boundaries, especially considering intersectoral relationships that go beyond the classical relationship with communities around the port'.

For seven (7) interviewees, social performance indicators were the best representation for CSP. Interviewees referred to key performance indicators (KPIs) in the social dimension (Tint_07, Tint_22), indicators that represented the performance of the relationship with stakeholders (Tint_10), or indicators representing how social objectives were achieved by ports (Tint_13, Tint_17, Tint_27). For Tint_27, this could be represented by 'the planning, execution, management and monitoring of all the actions related to the social responsibilities

that the organisation has. Management is highly related to monitoring, controlling indicators, controls while doing something…'.

Social impacts management was another theme referred to by four (4) interviewees concerning their comprehension of CSP in ports. Tint_23 emphasised that CSP meant 'how the port provided stakeholders with social embeddedness in return for the social impacts created'. Other interviewees mentioned analysis of the overall functions of the port (e.g., operational, commercial) regarding the social impacts that they created in their society (Tint_03), the policies and processes created to identify impacts in society (Tint_06), or the risk analysis concerning potential negative social impacts (Tint_15).

For two (2) of the interviewees, CSP represented something related to compliance that organisations need to have in the social dimension. This theme was based on the idea that performance in the social dimension was related to formal regulations that had to be followed, but also to informal agreements that could represent a 'social contract' between ports and their stakeholders. For example, while Tint_16 was clear in his statement referring to compliance as the legal requirements linked to the licences that ports have to obtain, Tint_17 considered compliance as the need to follow the voluntary agreements established by ports with the stakeholders around them (e.g., aspects emerging from dialogue with community members).

5.6 The Social Role of Ports

This section presents the findings for Section C of the interviews. In Section C, participants were asked to explain their views on the social roles of ports. At the beginning of Section C, participants were encouraged to think about a

differentiation made in this study between the terms, `roles` and `responsibilities'; that social roles were conceived as dimensions of accountability, while social responsibilities were seen as the actions related to these dimensions (Killion, 2009, Stiles and Taylor, 2001). For example, during this moment of the interview process, the interviewer invited participants to think of roles as something similar to positions in a business (e.g., operations manager), and to think of the responsibility as the specific actions linked to that role. In the example of the operations manager, the examples of responsibilities of the role included a focus on the health and safety of employees, cost control, monitoring of operational procedures, controls and/or environmental risks linked to the operational process. Other roles inside the organisation, although different, may have some responsibilities that are similar (e.g., focus on the health and safety of employees), while others might be quite different (e.g., maintenance manager concerns with the maintenance plan of equipment). After considering this distinction, participants were asked to give their views on the social roles of ports, and, where possible, give examples of social responsibilities linked to these roles. Sections 5.6.1 and 5.6.2 present the findings, respectively.

5.6.1 Social Roles

Five themes emerged from answers given by interviewees to the question, "What is the social role of ports?": 1) develop regional social environment; 2) adapt ports' processes to achieve social objectives; 3) act as a leader in the social dimension; 4) improve the economic status of the region; and, 5) maximise the port's economic capabilities to provide social betterment. These five themes are presented in Table 5-7.

Table 5-7 Themes representing the social roles of ports

Theme	Participants referring to the theme
Develop the regional social environment	9
Adapt ports' processes to achieve social objectives	8
Improve the economic status of the region	4
Act as a leader in the social dimension	3
Maximise port's economic capabilities to provide social betterment	3

According to nine (9) interviewees, the social role of ports was to act as a developer of the social environment of their local region. Codes in this theme representing participants' answers were then linked to the role of the port to provide regional development leverage (Tint_04, Tint_08), support the regional development (Tint_07, Tint_15, Tint_18), create value by connecting important stakeholders to the region (Tint_11, Tint_21), develop a social environment by using the strong capabilities of the region (Tint_16), and practise a duty of care towards stakeholders in their local region (Tint_19). Tint_08 stated that the social role of the port was 'to participate as a strategic player in the move of leveraging the development of the region where the company is'. Tint_11 stated that to become part of regional development

> ports must be connected to the region where they are, and they (ports) must become part of the social context of the region, allowing their existence to create value for the social environment where they are inserted (Tint_11).

Eight (8) interviewees answered that the social role of a port was to act as an entity capable of adapting its internal processes to operate sustainably. To do so, port should: have experts in the social dimension inside their organisation (Tint_01);

define principles linked to how to operate sustainably (Tint_05, Tint_12); match their financial investment plan with the social demands of their region (Tint_09); maintain a sustainable relationship with their internal and external stakeholders (Tint_13); act with respect and pro-activity (Tint_14); and, that port managers should understand and respond to the social impacts caused by their operations (Tint_17, Tint_20). As stated by Tint_05, the social role supported by the adaptation to sustainability practices is represented by the fact that

> managers (of ports) need to be absolutely aware of the transformations that they are creating in the surroundings and they need to respect those who live in the area and adapt the port processes to do what is expected by stakeholders (Tint_05).

Tint_12, similarly, stated that the port 'needs to grow becoming productive and respecting the stakeholders and the natural environment where they are located`. Another statement in this vein was that ports need to adjust their sustainability discourse to the level of investment being made in the social dimension, to avoid promoting superficial actions only used to improve the corporate image (Tint_09).

Four (4) interviewees expressed a view that the improvement of a region's economic status was a port's social role. Tint_23 said, `the main role of the port is to create income by improving its economic activity and employing people in the surroundings`. Codes generating this theme were linked to the twin ideas of economic development generating income and wealth (Tint_23, Tint_24, Tint_26), and the creation of jobs related to the operation of the port (Tint_25).

Three (3) participants expressed a view that the role of a port was to act as a leader in the social development of the region. Codes included in this theme were: the port

acting as a leader in society (Tint_06, Tint_28); and, the port as an orchestrator of actions in the social dimension including other companies in the region (Tint_27). Tint_06 stated that the leadership role was relevant because he 'has the perception that the port needs to be a leader in society. There is no space anymore to manage without taking what is expected by society into consideration'.

Three (3) participants thought the social role of the port was to maximise its core functions as the means of providing social betterment for the region, referring to the port as being able to explore its capabilities as an efficient link in the supply chain (Tint_02, Tint_03) and improve the cargo flow (Tint_10). This social role is differentiated from the role of improving the economic situation of a region because of its focus on the use of the function of the port. While economic activity can be improved by other players involved in port activity, maximising the function of ports is related to internal management of the organisation. Considering the optimisation of the port as an asset, Tint_02 stated that, `overall, the port is a link of the supply chain. If this link does not work correctly, it is not possible to attend society demands'. Complementarily, Tint_11 stated that the social role of the port is to establish a cargo flow, generating benefits for stakeholders.

5.6.2 Social Responsibilities

As well as being asked about the social roles of ports, interviewees were also asked about social responsibilities linked to these roles. In other words, interviewees were asked what specific actions ports should take to be accountable in the social dimension.

Four (4) themes emerged as the perceived social responsibilities of ports: to develop port management, to connect with their external environment, to engage with their employees, and, to have a focus on local development. Table 5-8 presents these four themes related to the social responsibilities of ports.

Table 5-8 Themes representing ports social responsibilities

Theme	Participants referring to the theme
Develop port management	19
Focus on the local development	17
Connect with the external environment	13
Engage with the employees	7

Developing port management as a social responsibility of ports was a theme referred to by nineteen (19) interviewees. Tint_08 referred to the development of port management as a social responsibility when, for example, public ports adapt their operations to help medium and small businesses, while private ports do not, and that without such help from public ports, many small and medium businesses may not be able to ship their cargo. This reference was to a specific example where a public port in Brazil adapted its operation to ship livestock from producers affected by drought in the region, while the private port organisations in the area would not because profit margins were too low. Tint_02 and Tint_12 referred to the balance of financial and social objectives and remarked on the responsibility of the port to develop a management culture that takes into account a holistic approach to performance and the social benefits created to stakeholders. By developing a dialogue with different stakeholders, Tint_05 and Tint_11 exemplified how a port's responsibilities were linked to the development of management activities that could

be seen as a responsibility of the port. Other codes mentioned by interviewees in this theme were: actions leading to the creation of services that add value to ports' activities (Tint_10, Tint_15, Tint_21, Tint_25), management of risks that could affect stakeholders (Tint_03, Tint_14), the orchestration of activities developed by other entities in the social dimension (Tint_05, Tint_08, Tint_16, Tint_27), the correct payment of taxes (Tint_15, Tint_25), and, the prevention of illegal activities that could occur during a port's existence (Tint_03, Tint_12, Tint_14, Tint_23). Seen in combination, these codes reveal an acceptance by these participants of a need to recognise port organisations as part of society including the understanding that they need to engage in developing of management practices that sustain a positive performance in the social dimension.

The local development theme, referred to by seventeen participants, was generated from the codes: development of the local workforce (Tint_01, Tint_03, Tint_07, Tint_23, Tint_28), the creation of jobs inside the port (Tint_03, Tint_10, Tint_18, Tint_25, Tint_28), maintenance of the social environment around the port (Tint_01, Tint_02, Tint_03, Tint_05), minimisation of social impacts on stakeholders (Tint_14, Tint_17, Tint_20, Tint_21), and, supporting the educational development of communities (Tint_01, Tint_09, Tint_13). According to Tint_21, the port should 'maximise, since the implementation phase, every benefit from actions that can contribute to the regional development'.

The theme 'to connect with the external environment' referred to by thirteen (13) participants was based on codes which gave more importance to the port's social licence to operate within a broader social fabric, instead of seeing the port as an isolated economic entity. Codes referring to this theme mentioned the need to

communicate ports' activities to stakeholders (Tint_06, Tint_07), to proactively involve stakeholders in port activities (Tint_06, Tint_14), to preserve the natural environment around the port (Tint_03, Tint_10, Tint_22, Tint_26, Tint_28), and to help public entities solve social problems (Tint_18, Tint_25). As stated by Tint_14, 'the port should promote this connection. If the ports take their importance in the region seriously, they might act towards being a more inclusive organisation, a more sustainable organisation'.

In addition to the connection with the external environment, seven (7) interviewees understood the social responsibilities of ports to include management of the social dimension inside the walls of the company, particularly in relation to employees. This theme was built upon codes referring to: the need for ports to be accountable for and engaged with employees (Tint_02, Tint_03), the need to integrate employees' families in the port environment (Tint_07), promoting the safety of employees (Tint_22, Tint_23, Tint_26), promoting the safety of third party employees (Tint_26), and, promoting the engagement of employees with the ports' actions to make them feel accountable for the port's performance in the social dimension (Tint_10). Tint_10 offered an example of how this could be significant, stating that:

> making the employees engage with the port, making them understand what their work is and how what they do is important for people beyond the geographical boundaries. It is important to make sure that the message about the port function is transmitted to society by those that were part of the organisation.

5.6.3 Influencing Factors for Adopting Social Roles

Aiming at a more in-depth investigation about the perception of social roles of ports, participants were asked to justify why ports should be socially active and what might be advantages and disadvantages to assuming their social roles.

According to interviewees, ports should adopt their social roles as part of their businesses because: they have natural social accountability, it could prevent problems from escalating, it can foster support from stakeholders, they need to comply with laws and regulations, they should take into consideration the strategic development of the port, and, because ports need to offer something in return for the exploitation of natural resources. Table 5-9 thematically summarises these factors mentioned by interviewees.

Table 5-9 Factors influencing ports to adopt a social role

Theme	Participants referring to the theme
Social accountability	22
Stakeholders' support	6
Strategic development	5
Prevention of problems escalation	4
Compliance with laws and regulations	2
Return for the exploitation of resources	2

Social accountability was a theme/factor built upon codes referring to how port operations impact societies and referring, therefore, to the need for ports to be accountable to mitigate those negative impacts when they happen (Tint_03, Tint_03, Tint_05, Tint_09, Tint_11, Tint_13, Tint_16, Tint_18, Tint_19, Tint_22, Tint_27). Some interviewees proposed that social accountability should be a given part of the natural behaviour of ports (Tint_17, Tint_20, Tint_21, Tint_23, Tint_25, Tint_27)

and that ports had to acknowledge their accountability because they are strategically important and influential businesses with the power to shape the social dimension of the region where they are located (Tint_07, Tint_08, Tint_12). Other interviewees saw social accountability as emerging from the idea of ports being part of people's lives (Tint_18, Tint_26), from the importance of ports in supply chain development (Tint_04), and from ports simply being unable to avoid participating in the social development of their local region (Tint_06). As stated by Tint_23, 'firstly I think the port should be committed (with social responsibilities) and from this ensure that activities (to manage the social dimension) are done correctly, respecting the social environment'.

The theme, stakeholders' support represents another aspect of the adoption of social roles by ports. This theme was developed based on codes representing ports' need for society's support when facing a difficult moment (Tint_05, Tint_17, Tint_27), or because ports need a so-called 'license to operate' granted through the acceptance of stakeholders to having the port operating in the region (Tint_03, Tint_10, Tint_21). According to Tint_10, 'nowadays the law enforces that, and besides, you need the so-called license to operate provided by stakeholders'.

Strategic development as a factor leading to the adoption of social roles was developed based on ideas about coming challenges that ports may face and the need to have social responsibilities in place to smooth over the process of overcoming these challenges. The codes supporting this theme include: the need to overcome new challenges in the business environment (Tint_10, Tint_18), the increasing pressure for more demands related to social performance (Tint_03), the need to

prepare the organisation for promoting employees' higher engagement (Tint_07), and, the benefits that could be achieved by improving a port's reputation (Tint_24).

The prevention of problem escalation was referred to as influencing the adoption of the social roles by ports; a theme built on concerns expressed by participants that external issues easily manageable but ignored by a port can quickly turn into big problems (Tint_14, Tint_15, Tint_21, Tint_28), and on the belief that society's complaints can become a significant barrier to port operations and development (Tint_14).

Finally, compliance was mentioned as a factor influencing the adoption of social roles, based on the idea that ports must adhere to existing laws and regulations (Tint_03, Tint_12), and also on the conviction that, based on such laws and regulations, ports should give something in return for the natural resources exploited while operating in the region (Tint_23, Tint_25).

5.6.4 Pros and Cons of Adopting Social Roles and Responsibilities

As the final part of this section of their interviews, participants were asked to reflect on the possible advantages and disadvantages of ports adopting social roles.

As shown in Table 5-10, interview participants reported six significant advantages of having a social role: improvement of reputation, developing the port's strategic advantage, better engagement with stakeholders, opportunities to participate in the social development of the region, improving overall operational performance and raising the self-satisfaction of employees who feel they can be part of finding solutions to issues arising in the social dimension.

Table 5-10 Themes related to the advantages of adopting a social role in ports

Theme	Participants referring to the theme
Improvement of reputation	17
Strategic advantage	11
Engagement with stakeholders	10
Participation in society development	8
Overall performance improvement	5
Self-satisfaction	2

In relation to the potential improvement of reputation, interviewees expressed a belief that ports adopting a social role will: have a better corporate image (Tint_04, Tint_06, Tint_09, Tint_11, Tint_15, Tint_19, Tint_20, Tint_22, Tint_23, Tint_24, Tint_27, Tint_28), experience an increase in community trust (Tint_10, Tint_21, Tint_26), enjoy increased perceptions of transparency (Tint_13, Tint_21), and attract higher investor confidence (Tint_14).

The theme of the strategic advantage as a reason to adopt a social role was derived from statements about: support from stakeholders in case of unexpected events (Tint_03, Tint_17, Tint_21, Tint_23), attracting the required workforce (Tint_09, Tint_15, Tint_19), reduced pressure from environmental authorities (Tint_05, Tint_12), the possibilities for facilitating licensing processes (Tint_09), providing the license to operate (Tint_16), and, from statements about opportunities to be more aware of potential risks for the business (Tint_08).

Concerning engagement with stakeholders, the adoption of the social roles was seen as positive by interviewees who expressed a belief that it helps foster positive interactions between the port and society (Tint_02, Tint_06, Tint_07, Tint_09,

Tint_11, Tint_13, Tint_14, Tint_19, Tint_27), and that it helps improve communication processes with stakeholders (Tint_13, Tint_21).

Another perceived advantage of adopting a social role was the opportunity for ports to participate in the social development of the region. Interviewees referred to the opportunity to contribute to the overall development of the region (Tint_01, Tint_04, Tint_15, Tint_18), to promote sustainable development (Tint_05, Tint_08, Tint_12), and to take actions for the improvement of the social status of the region (Tint_02). No further details were added about how, in practice, ports could act and directly influence the development of the region where they are.

The potential improvements to overall performance that might be gained by adopting positive social roles were considered from different perspectives by interviewees who argued that adopting social roles could: indirectly improve the logistic performance of a port (Tint_03), lower the risk of operations interruption (Tint_10, Tint_16), and provide tax benefits to the port (Tint_02, Tint_05).

Although only two interview participants mentioned self-satisfaction as an advantage of adopting social roles (Tint_10, Tint_25), reporting this theme is considered important due to its implications for CSP incorporation. This theme referred to ports adopting a positive social role and making an organisation's members feel important within the social environment. Social roles could allow employees to participate in actions linked to the social dimension of business performance and thus help engender a sense of self-satisfaction.

However, potential benefits notwithstanding, interviewees for this study also saw potential disadvantages in a port's adoption of social roles: the potential for

mismatching of responsibilities, for increased exposure of the organisation and increase on activities scope. Interestingly, six interviewees reported very clearly that, in their view, there are no disadvantages whatsoever for ports adopting social roles and responsibilities. The list of themes for this section is presented in Table 5-11.

Table 5-11 Themes related to the disadvantages of adopting social roles in ports

Theme	Participants referring to the theme
No disadvantage	6
Responsibilities mismatch	12
Increased organisation exposure to criticism	6
Increased organisation scope of activities	6

The mismatch of responsibilities theme refers to accountabilities that were not owned initially by the port, but somehow were transferred to it when the different level government social programs were permanently transferred to the port in question. Participants mentioned that financial dependency could sometimes be unwittingly created when a port helps communities at some moment of crisis or need, and then over time those ports can find themselves become permanently accountable and expected to keep providing financial assistance (Tint_01, Tint_06, Tint_16, Tint_18, Tint_23, Tint_25). Tint_01 described the mismatch of responsibilities when stakeholders become 'dependent to simply receive financial support from the port without actually thinking how the organisation can contribute to solving other problems in the community'. A mismatch of responsibilities can also be reinforced when there is confusion between the public and private sectors'

responsibilities (Tint_09, Tint_11, Tint_15, Tint_16, Tint_17, Tint_21), and this can lead to situations in which the port may be perceived as the first or only solution for the myriad the problems in the region. A mismatch of responsibilities can also arise when a port is perceived as a vector of unwanted activities, when in fact the port (may have had nothing to do with these activities at all (Tint_20).

The increased organisational exposure to criticism referred to cases when an action taken by a port, instead of helping to build a positive image, ended up damaging the reputation of the company (Tint_05, Tint_09, Tint_10, Tint_13, Tint_18). As examples, Tint_05 cited cases in which a port had adopted a measure seen as beneficial for the community, but as other companies in the area were not able to do the same, sometimes a defamatory campaign would begin against the port, designed to create the impression that the port was only doing 'good' in order to hide negative impacts of its operation. The increased organisational exposure to criticism also included the risk of being linked to corruption practices (Tint_09), and the risk of political interference/pressure when elections happen in the region (Tint_04). According to Tint_16, ports were exposed to stakeholder criticism when 'false expectations were generated, and because people got frustrated when they did not have what they expected, they turned into enemies of the organisation'.

Another disadvantage of the adoption of a social role by a port could increase the scope of its activities, which could result in increased costs to the business (Tint_03, Tint_7, Tint_09, Tint_12, Tint_16) and could also lead to a higher workload in order to perform the expected social role (Tint_28). According to Tint_28, 'not saying that this is something negative, but assuming social responsibilities means having more scope added to your tasks, such as communicating, listening and other things'.

5.7 Corporate Social Responsiveness Processes in Ports

This section reports the interview results of Section D, which focused on how participants understood processes developed in the social dimension as part of CSP. Based on Wood's (1991) theory, this study examined two key aspects of CSR2: 1) the management of social impacts; and, 2) relationships with stakeholders. Data analyses results from this part of the interviews have been used to help answer the SRQ3, which asks how managers in ports addressed social impacts on stakeholders.

5.7.1 Social Impacts Linked to Ports

During this part of the interview, the primary objective was to understand what participants perceived as social impacts caused by ports. Subsequently, based on answers to Section D, other questions were asked about the management of social impacts and relationships between stakeholders and ports.

When asked about social impacts, participants were given free rein to refer to them in terms of positive and negative social impacts. Table 5-12 and Table 5-13 present both types of positive and negative impacts reported by interviewees. Interviewees mentioned the positive social impacts of regional economic improvement, improvement in the educational status of the region, infrastructure development and technological improvement.

Table 5-12 Themes for positive social impacts created by ports

Theme	Participants referring to the theme
Regional economy improvement	16
Improvement in the educational status of the region	4
Infrastructure development	2
Technological improvement	2

Regional economic improvement was considered a significant impact by sixteen (16) interviewees, recognising ports' contributions to jobs creation (Tint_03, Tint_06, Tint_08, Tint_09, Tint_13, Tint_14, Tint_15, Tint_23, Tint_24, Tint_25, Tint_26), the generation of taxes linked to port activities (Tint_06, Tint_07, Tint_13, Tint_15, Tint_24, Tint_26), the promotion of overall economic development (Tint_02, Tint_04, Tint_08, Tint_09, Tint_17, Tint_24, Tint_26), the promotion of other economic activities linked to the port (Tint_06, Tint_07, Tint_13, Tint_15, Tint_24, Tint_26), the generation of income for different stakeholders involved directly or indirectly with ports (Tint_07, Tint_18, Tint_24), the increase of the country's logistics efficiency (Tint_02, Tint_09), and, the attraction of other economic activities to the port's surroundings (Tint_04). As stated by Tint_02, 'the port is a promoter, I mean it promotes the development of the local industry. This is a characteristic of ports in my point of view'.

The improvement of the educational status of the region was another positive impact reported by participants concerning actions taken by ports to improve employees' overall skills (Tint_09, Tint_25, Tint_26), and also concerning investments that supported schools and educational initiatives in the community (Tint_18). As stated by Tint_18, educational development could occur when 'employees learning something as a good practice inside the company could replicate that in their daily routine activities in the community'.

Infrastructure development was considered a positive social impact of ports by interviewees because it not only links the port with the transport network (Tint_09) but also connects the region with the rest of the world (Tint_02). As stated by Tint_02, 'without the port, there is no international commerce'.

The perception of technological improvement being a positive impact was based on ports' capacity to overspill technical knowledge to the society around them and to promote technological advancement based on operational practices. Participants talked about technological improvement in terms of ports' capacity to promote innovation (Tint_02), and in terms of technology upgrades that come with ports' activities (Tint_03). Tint_02 emphasised the innovation aspect, arguing that 'if the port develops an innovative process, this can be shared with the society'.

The negative impacts mentioned by participants generated seven (7) themes, shown in Table 5-13.

Table 5-13 Themes referred to negative social impacts created by ports

Theme	Participants referring to the theme
Environmental problems	17
Infrastructure overload	16
Social problems	13
Economic problems	12
Traffic and congestion problems	10
Increased criminal activities	7
Accidents	3

The environmental problems theme reflects different comments yielded by interview participants; some comments were of a general nature, concerned about environmental problems (Tint_03, Tint_04, Tint_05, Tint_08, Tint_09, Tint_10, Tint_12, Tint_14, Tint_17, Tint_18, Tint_19, Tint_22, Tint_23, Tint_28), but others referred to impacts in a more specific way: visual impacts caused by the port (Tint_04, Tint_14, Tint_27), dust emissions (Tint_10, Tint_12), noise increase (Tint_14, Tint_26), and water pollution (Tint_21).

The overload of the infrastructure theme was built upon the quotes of participants referring to: problems created due to unplanned urban development (Tint_06, Tint_09, Tint_10, Tint_15, Tint_16, Tint_19, Tint_20), an increase of unplanned migration (Tint_05, Tint_07, Tint_11, Tint_19, Tint_20, Tint_27), an overload of public services infrastructure (Tint_01, Tint_05, Tint_09, Tint_16, Tint_18, Tint_22), and, the deprivation of land use (Tint_08, Tint_09, Tint_11, Tint_21). Tint_11 referred to the deprivation of land use as problematic because when 'the port is implemented, inhabitants cannot explore a significant portion of the land of the region'.

Social problems as negative impacts from ports activities referred to problems allegedly caused by the presence of the port and the perceived consequences to that community's wellbeing: disturbances to the community way of life (Tint_03, Tint_08, Tint_13, Tint_16, Tint_18, Tint_19, Tint_2), prostitution (Tint_03, Tint_06, Tint_20, Tint_22, Tint_23), drug abuse (Tint_07, Tint_2), cultural disruption (Tint_07, Tint_16), child exploitation (Tint_7), alcoholism (Tint_22), and the disruption of social bonds within a community (Tint_27).

Economic problems considered as negative social impacts from ports referenced: employment frustration because the port did not offer many job opportunities to the region's locals, often importing a specialised workforce from other places (Tint_01, Tint_05, Tint_22, Tint_27), economic fishing deprivation caused by a port's operating area (Tint_07, Tint_11, Tint_14, Tint_16, Tint_17, Tint_21), a decrease in tourism activities in the area (Tint_06, Tint_07, Tint_14), the community's high financial dependency on port business activities, potentially causing economic problems for the community in moments that port could not keep the same level of

social investments (Tint_01, Tint_10), and, the increasing wealth gap due to the arrival of an imported skilled workforce with better incomes than the locals (Tint_17).

Interviewees considered traffic congestion as a negative social impact of ports based on the increase in vehicles involved in port operations (Tint_05, Tint_08, Tint_09, Tint_11, Tint_12, Tint_13, Tint_15, Tint_19, Tint_21, Tint_26), and based on increasingly long and difficult daily commutes (Tint_08, Tint_21). According to Tint_23, in regions where the waterways are an essential part of the transport system, 'if not planned in a good manner, the port can affect the moving of people during their daily routines'.

Some interview participants regarded criminal activities as a negative social impact of ports because of: an increase in overall criminality (Tint_02, Tint_15, Tint_23), increases in violence indexes (Tint_09, Tint_11), smuggling (Tint_20), and sexual abuse cases (Tint_13). In terms of accidents, those linked to port operations – accidents such as oil spills or truck crashes – were deemed to be a negative social impact with the power to affect the environment in the surrounding areas (Tint_12, Tint_19, Tint_25).

5.7.2 Identification and Management of Social Impacts in Ports

In the second stage of the investigation of social impacts management, participants were asked about their perceptions of the most common processes used in ports to identify and manage social impacts. Participants were free to answer in broad global terms, including processes that interviewees perceived as standard practice across the whole port industry. When asked about how ports identify and manage social

impacts, participants provided answers that have been summarised using six (6) different themes elaborated below and presented in Table 5-14.

Table 5-14 Themes related to the management of social impacts by ports

Theme	Participants referring to the theme
Preventative process	15
Compliance with legal requirements	7
A joint effort process	7
Relationship management	5
Ports' internal processes	4
Using external support	3

Fifteen (15) participants referred to the preventative process approach (i.e., predicting social impacts before they happen) as the best way to act upon these matters, and included references to: the elaboration of plans for minimising negative social impacts (Tint_06, Tint_15, Tint_17, Tint_19, Tint_21, Tint_23), the execution of risk analysis (Tint_08, Tint_15, Tint_18, Tint_23, Tint_25, Tint_26), the production of a socio-economic map, to understand the region's potential social challenges (Tint_16, Tint_19), the development of emergency plans designed to minimise impacts (Tint_12, Tint_23), anticipation in the solution of inevitable problems (Tint_17, Tint_19), the execution of environmental assessments during operations in addition to those done during the construction phase (Tint_17), understanding how different activities related to the port can affect stakeholders (Tint_03), the production of neighbourhood impact assessments (Tint_05), and, giving a higher level of priority to potential social impacts during the planning and development stages of ports (Tint_24).

According to Tint_16:

> it was necessary to make the geopolitical mapping of the region where we are. We should focus on sensitive groups and make sure that we are aware in advance about how to act with these groups.

Some interviewees identified a need to comply with legal requirements as a motivating factor for their ports engaging in the processes of identifying and managing social impacts. These interviewees referred to: the execution of environmental impact assessments and reports for licensing purposes (Tint_01, Tint_06, Tint_09, Tint_11, Tint_17), adherence to Brazilian regulations in the environmental dimension (Tint_04), and, the use of certification procedures to identify and manage pre-defined social impacts (Tint_20). According to Tint_22, 'this could be done by using certifications, and the port, to maintain them, needs to be up to date with the rules in place'.

The use of joint efforts, merging ports' capabilities and local knowledge, was referred to by interviewees as a process which could help identify and manage social impacts by: using local knowledge from stakeholders to identify social impacts (Tint_14, Tint_21, Tint_26), going into partnership with local governments (Tint_05, Tint_22), using partnerships to preserve cultural heritage (Tint_07), using partnerships to prepare collective assistance plans (Tint_07), going into partnership with universities (Tint_09), and, by engaging with stakeholders to define the main social impacts from their point of view (Tint_26).

Relationship management with stakeholders was another theme created based on participants codes referring to: identify and manage social impacts through the use

of confirmatory feedback about complaints presented by communities (Tint_27), to make regular contacts with stakeholders (Tint_19), the establishment of right communication channels (Tint_14, Tint_15), and, to occasionally hold informal consultations with stakeholders (Tint_20, Tint_27). According to Tint_19, such consultations 'should be done every week. We have people constantly in contact with society members even if there is nothing necessarily demanding it from us'.

The use of internal processes developed in ports refers to actions undertaken by managers to identify and manage social impacts, which interviewees for this study associated with: the definition of financial indicators that could help manage social impacts (Tint_03, Tint_09), the establishment of reliable controls for social actions management (Tint_10), investment in port infrastructure to update current needs of communities (Tint_1), maintenance of port assets to avoid social impacts (Tint_12), and, the use of innovative processes (Tint_10).

Furthermore, some interviewees said that the use of external support processes was the best way to identify and manage social impacts. For these interviewees, external supports included external audit processes (Tint_ 09) and the use of consultancy services to support the identification and management of social impacts (Tint_13, Tint_26). Tint_13 reflected that 'sometimes you need help from specialists familiar with these activities. Based on their support, we can make the actions more effective according to the objectives expected'.

5.7.3 Stakeholders Management by Ports

Interviews data analysis focused next on managers' perspectives on the management of stakeholders within the context of corporate social responsiveness

processes. Interviewees were asked to list the five (5) most important stakeholders in ports, from their own perspective. The range of possible stakeholders mentioned by interviewees are categorised as internal (I) or external (E) in Table 5-15, and presented with themes derived from the interview data, from the most quoted to the least quoted.

Table 5-15 Most relevant stakeholders for ports from the interviewees' perspective

Theme	Main interviewee's quotes	Number of quotes	Nature
Society	Civil society, communities and traditional communities	23	E
Legislators	Council, Government, Mayor, State government	20	E
Associations	Business associations, Educational institutions, Financial Institutions, Fishing associations, Labour Union, NGOs, Press,	19	E
Regulatory authorities	District attorney, environmental authorities, Navy, port authority, 'regulators.'	16	E
Contract bonded stakeholders	3rd Party employees, cargo owners, customers, pilots, suppliers	9	E
Employees	No specific identification made	9	I
Companies around the port	No specific identification made	7	E
Port Operators	No specific identification made	2	I
Managers and leaders	No specific identification made	2	I
Board members	CEO and a general quote	2	I
Investors	Shareholders and a general quote	2	E

Interviewees were asked then to express their views about the best ways to establish good relations with stakeholders. Five (5) themes were generated from their answers: communicating well, building trustful relationships, knowing/understanding stakeholders, proactive strategies for stakeholder engagement, and, preparing the organisation for its relationship with stakeholders (see Table 5-16).

Table 5-16 Processes adopted to establish a good relationship with stakeholders

Theme	Participants referring to the theme
Communicating well	15
Building trustful relationships	13
Knowing/understanding stakeholders	12
Proactive strategies of stakeholder engagement	10
Preparing the organisation for the relationship with stakeholders	4

Communicating well was considered by fifteen (15) interviewees to be the best way to enhance relationships with stakeholders, achieved through: the creation of proper communication channels (Tint_03, Tint_05, Tint_08, Tint_12, Tint_22, Tint_26, Tint_27), clarity in the communication process (Tint_01, Tint_08, Tint_16, Tint_22, Tint_27), engagement in a dialogue in which both parties can discuss common problems (Tint_09, Tint_13, Tint_16, Tint_18, Tint_28), listening to stakeholders' claims (Tint_11), more frequent communications (Tint_14), and, through the establishment of public hearings (Tint_03). According to Tint_15, 'the dialogue must be held in two-way communication and be transparent. Only doing this the bond between the port and stakeholders will exist'.

Thirteen (13) interviewees indicated that building trust with stakeholders was essential to establish and maintain positive relationships. These interviewees said companies could build trust by: being proactive rather than waiting for a negative reason to contact stakeholders (Tint_09, Tint_10, Tint_20, Tint_21), being transparent (Tint_04, Tint_16, Tint_23), by matching social strategies with stakeholders (Tint_06, Tint_16, Tint_24), by inviting stakeholders to learn what

happens inside the port (Tint_10, Tint_19, Tint_23, Tint_24), by developing credibility in the relationship (Tint_07, Tint_27), and, by creating a sense of partnership in the relationship (Tint_01, Tint_09). As quoted by Tint_27

> if you develop credibility, when you have a difficult situation to deal with, the other side will believe that you are saying the truth and not hiding anything to escape from your responsibilities (Tint_27).

Twelve (12) interviewees expressed a view that an understanding of stakeholders can help build and maintain positive relationships between them and port management. These interviewees said that ports could better understand their stakeholders through: the correct identification of different groups (Tint_07, Tint_12, Tint_14, Tint_20, Tint_26, Tint_28), the creation of a priority map of stakeholders (Tint_03, Tint_14, Tint_15, Tint_18), knowing stakeholders' expectations (Tint_09, Tint_17, Tint_26), the setting of mutual objectives (Tint_02, Tint_17), and, through the evaluation of stakeholder satisfaction levels (Tint_14).

Ten (10) interviewees expressed a view that strategic proactive engagement with stakeholders is key to developing positive relationships. This strategic approach can include meetings with stakeholders (Tint_02, Tint_08, Tint_09, Tint_10, Tint_15, Tint_25), promotion of social actions in the region (Tint_08, Tint_19), the participation of the port in local associations (e.g., local business association) (Tint_08, Tint_25), the development of social policies (Tint_04), the participation in volunteering activities (Tint_08), the development of technologies that might benefit stakeholders (Tint_18) and avoiding stakeholders' misunderstanding of engagement that ports need to dispense favours to them in exchange of a positive relationship. If the last occurs, when ports face operational challenges and/or

financial problems which prevent the organisation from continuing to give favours as usual, stakeholders may get the impression that the port is no longer engaged with them (Tint_07).

Four (4) participants expressed an opinion that good preparation of the organisation before engaging with stakeholders is essential for building and maintaining positive relationships. For these interviewees, good preparation means: integrating different plans and policies within the organisation before undertaking social actions involving stakeholders (Tint_03), discovering what the port expects from its relationships with stakeholders (Tint_03), developing a management and monitoring system in the social dimension (Tint_10), hiring skilled professionals to interact with different stakeholders (Tint_14), complying with existing regulations (Tint_28), and, when possible, using the support of non-governmental organisations to improve relationships with stakeholders (Tint_10).

5.7.4 The Criteria Used to Prioritise Social Impacts Solution

Section E of the interviews closed by asking interviewees what they thought to be important to define the priority of stakeholders' claims concerning social impacts. Eleven (11) themes emerged from their answers (see Table 5-17).

Sixteen (16) interviewees expressed an opinion that the main criterion used to prioritise stakeholders' claims was the presentation of risk to the operational continuity of the port. These interviewees said that operational continuity could potentially be interrupted by protests and strikes (Tint_03, Tint_10, Tint_24, Tint_28), by legal sanctions imposed on the port (Tint_04, Tint_08, Tint_17, Tint_22, Tint_23), by the mobilisation of governmental entities which may interfere

in port functioning (Tint_06), by the dissatisfaction of shareholders leading to a cessation of operations (Tint_07), and, that continuity can be interrupted due to a withdrawal of support by financial institutions due to alleged bad behaviour by the port in the social dimension (Tint_11). Tint_14 put it succinctly, saying that priority is given to those stakeholders 'capable of interrupting, lock or create problems to the operation'.

Table 5-17 Themes related to criteria used to prioritise stakeholders' social claims

Theme	Participants referring to the theme
The risk to operational continuity	16
The urgency of the claim	7
Risk to reputation	3
Alignment of the claim with the ports growth strategy	2
The physical proximity of stakeholders to the port	2
Return of the investment done to attend a claim	2
Risk to lives	1
Influence power of stakeholders	1
Claims supported by social policies and regulations	1
The validity of the claim presented	1
The complexity of the claim	1

Seven (7) interviewees referred to the urgency of stakeholder claims as a criterion used by ports to decide what should be attended to first, determined through an assessment of the intensity of social impacts and consequences for stakeholders (Tint_08, Tint_13, Tint_16, Tint_18), and, by priority being given to managing those social impacts requiring urgent action (e.g., health or safety issues) (Tint_08). The definition of priority based on the urgency criterion could occur, for example,

thinking about ‘focusing and acting first on the highest negative impact on the less negative ones’ (Tint_08).

The risk to the company’s reputation was referred to by three (3) interviewees as a criterion used to prioritise social impacts solutions, referring to: damage to the company’s image caused by legal processes (Tint_07), exposure in the media (Tint_10), and, the risk of having the name of the company linked to activities capable of causing fatal accidents (Tint_27). Tint_10 raised a particular question of concern: ‘is my neighbour going to knock on my door accompanied by a television crew with the intent to damage my reputation’?

Three criteria for prioritising claims presented by stakeholders were mentioned by two participants each: Tint_25 and Tint 26 considered the alignment between stakeholders’ claims and a port’s objectives as a way to prioritise actions; Tint_08 and Tint_13 said that priority should be given to claims presented by stakeholders geographically close to the port; and, Tint_01 and Tint_09 suggested prioritising claims that could bring a return to investment by the port in the solution.

Five (5) criteria were mentioned by only one participant: the priority given to stakeholders and solving social claims should be based on the complexity of problems (solving problems from the less complex to more complex) (Tint_11), stakeholders’ power of influence on ports (Tint_16), the priority established by the port’s social policies (Tint_21), and, should be based on the validity of the claim using the port’s perspective as reference (Tint_09).

5.8 Evaluation of Social Performance by Ports

The final part of interviews was dedicated to answering the SRQ4, seeking to clarify how these managers understood the evaluation of CSP in their port operations. Participants were asked a range of questions, including if they evaluated CSP as part of their management practices and what indicators they would adopt to evaluate CSP. The inclusion of different elements into the evaluation processes and procedures used to evaluate CSP were investigated.

5.8.1 Existence of an Evaluation Process

The first question in this Section F asked whether interviewee participants had an existing evaluation process for CSP in their ports. Seventeen (17) interviewees answered no, CSP evaluation did not exist (Tint_05, Tint_06, Tint_09, Tint_10, Tint_13, Tint_16, Tint_17, Tint_18, Tint_19, Tint_20, Tint_24, Tint_25, Tint_26), while eleven (11) interviewees indicated that CSP was somehow evaluated in their ports (Tint_01, Tint_03, Tint_07, Tint_08, Tint_11, Tint_12, Tint_14, Tint_15, Tint_21, Tint_22, Tint_23) (see Table 5-18).

Table 5-18 Existence of CSP evaluation in participant's port

No	Yes
17	11

Among the seventeen (17) participants who reported no CSP evaluation in their ports, one participant (Tint_18) indicated that their port had a stakeholder mapping procedure but not the evaluation of CSP *per se*. Another participant justified the absence of CSP evaluation by saying that the indicators to support the process were very difficult to define and evaluate (Tint_04). Other interviewees said there were

indicators to evaluate environmental performance but not CSP (Tint_09), that although efforts to establish the evaluation of CSP had been made, this was always given the lowest level of priority compared to other evaluations of performance inside the company (Tint_06).

Interestingly, answers from those participants reporting the evaluation of CSP did exist in their ports carried particular views about what CSP evaluation meant. For example, Tint_01 reported having CSP evaluation as part of their practices and linked this to the execution of investments in the improvement of assets available for the community (e.g., donation of a new ambulance vehicle). Tint_03 reported using a specific indicator related to the safety of employees as the basis for their CSP assessments. Tint_07 and Tint_12 reported the existence of a more comprehensive evaluation of CSP, saying that due to the need to adhere to international requirements for bank finance purposes, they had developed several indicators, including internal and external stakeholder aspects in the social dimension. For Tint_08, the evaluation of CSP in the port was based on pre-determined indicators established in the ANTAQ Environmental Performance Index (IDA in Portuguese). In other cases, interviewees confirmed the adoption of CSP evaluation based on standards provided by the Global Reporting Initiative (GRI) and the Ethos institute (Tint_15, Tint_12).

5.8.2 Participation of Other Parties in the Evaluation Process

In addition to answers provided about their ports having or not a CSP evaluation process as part of the port's management, interviewees were asked if they agreed with the inclusion of other parties, in addition to the port's representatives in the

evaluation of CSP. Moreover, they were asked which parties should be included in any such cases.

Six (6) participants reported that the evaluation should be done internally by the port managerial group, without the involvement of other parties (Tint_01, Tint_02, Tint_19, Tint_20, Tint_23, Tint_24). Asked about which departments inside ports should be involved in the evaluation of CSP, Tint_01 referred to the human resources department, and Tint_02 mentioned the port authority. According to those arguing that the port should conduct evaluations alone, potential risks involved in sharing this information with external parties was too great without knowing how this information could be handled.

Four (4) interviewees said that it was important for the port to conduct CSP evaluation first, and only after this primary analysis should they invite other parties to join the evaluation process (Tint_01, Tint_02, Tint_19 and Tint_20, Tint_23, Tint_24). This solution was supported by arguments made that using an initial filter to analyse results could help decide what and how sensitive information can be reported to external parties (Tint_24). Similarly, Tint_23 said:

> It is important to have other parties involved in the evaluation but setting a filter was necessary because once information was disclosed externally, there was no guarantee about how it would be interpreted by other parties (Tint_23).

In contrast to the confidentiality perspective, seventeen (17) participants said it was important to have other parties involved in the evaluation process from the very first stage of analysis. When asked who should be involved in the evaluation process, these participants referred to: ‘all possible stakeholders’ (Tint_04, Tint_06, Tint_14,

Tint_15, Tint_16, Tint_17, Tint_25, Tint_26, Tint_27), and to the more specific stakeholders of 'the community' (Tint_08, Tint_13, Tint_21, Tint_22), 'the employees' (Tint_03, Tint_10, Tint_18), and public authorities (Tint_05, Tint_13). A summary of the parties quoted by participants to be involved in CSP evaluation processes is available in Table 5-19.

Table 5-19 Parties to be included in the CSP evaluation process

Theme	Participants referring to the theme
All possible stakeholders	9
Community	4
Employees	3
Public Authorities	2

Concerning the involvement of stakeholders in the CSP evaluation, participants said that having them on board could improve the analysis process due to: the consideration of different points of view (Tint_04, Tint_14, Tint_16), their support defining social objectives (Tint_06), and, due to the opportunity to obtain direct feedback about what is thought about the company's actions (Tint_15). Regarding community inclusion, it was reported as important to ensure their support for business activities (Tint_13), and to prevent unnecessary stress on existing relationships (Tint_21). Employees were referred to as a vital part of the evaluation process because, once involved, their sense of engagement increases (Tint_10), and they were considered the primary information vehicle that the company had in the region to explain what happened inside the port walls (Tint_18). Finally, some interviewees said that public authorities should be involved in the evaluation process because their support for the port operation was valuable in different phases

of the company's life cycle, and so having them on board could make things easier from project conception until the operation phase (Tint_05, Tint_13).

5.8.3 Procedures Used to Evaluate CSP

When asked which procedures should be used to evaluate CSP in ports, interviewees quoted the use of more qualitative (QUAL) approaches: audits (Tint_05, Tint_07, Tint_09, Tint_23), auto evaluation (Tint_23), brand evaluation (Tint_08), analysis of the nature of complaints reported about the port (Tint_20), interviews with different stakeholders (Tint_07, Tint_13, Tint_21, Tint_23, Tint_27), qualitative analysis of the status of social problems of the region (Tint_12, Tint_16, Tint_21, Tint_22, Tint_23), analysis of the social media content (Tint_18), stakeholders perceptions about the ports (Tint_08, Tint_11, Tint_14, Tint_16, Tint_26), and surveys (Tint_03, Tint_06, Tint_10, Tint_11, Tint_12, Tint_15, Tint_19, Tint_24).

Using an approach more focused on the quantitative (QUAN) evaluation of CSP, interviewees referred to: the use of benchmark social indexes for performance comparison (Tint_03), the evaluation of social indexes created by the company or adopted from other entities (Tint_03, Tint_07, Tint_08, Tint_09, Tint_10, Tint_14, Tint_15, Tint_16, Tint_17, Tint_20, Tint_21, Tint_22, Tint_25, Tint_27), and to the use of control devices (e.g., environmental control equipment) to consider CSP from a socio-environmental perspective (Tint_10). One interviewee reported not having a clear idea about a process that could support the evaluation of CSP in ports (Tint_04).

Table 5-20 presents a summary of the answers provided by interviewees about the most appropriate methods to evaluate CSP in ports. The table is organised from those with more quotes to those with fewer quotes and offers additional information about the region of participants and the type of analysis considered.

Table 5-20 Themes referred to the procedures used to evaluate CSP in ports

Theme	Participants referring to the theme	Type of analysis
Audits	4	QUAL
Surveys	8	QUAL
Interviews with different stakeholders	5	QUAL
Analysis of stakeholders perceptions	5	QUAL
Auto evaluation	1	QUAL
Brand evaluation	1	QUAL
Evaluation of the nature of complaints reported about the port	1	QUAL
Analysis of the social problems of the region	1	QUAL
Existing indexes in the social dimension	14	QUAN
Benchmark indexes created by the port	8	QUAN
Environmental equipment	1	QUAN

5.8.4 Indicators Used to Evaluate CSP

The last part of interviews explored the indicators managers perceived as useful for evaluating CSP in ports. Interviewees were asked which indicators they used or would suggest being used as a way to evaluate CSP in ports. Each reference provided by participants was coded, and similar codes were grouped in themes. Six (6) major themes were created: performance evaluation based on community-related subjects, indicators of socio-environmental controls, indicators of labour practices, indicators of fair-operating practices, indicators of governance practices, and composed indexes.

Due to the extensive list of indicators provided by interviewees, a summary of their answers grouped in these six themes are presented in Table 5-21.

For community-related indicators, interviewees quoted: records involving accidents and complaints reported by community (Tint_09, Tint_10, Tint_13, Tint_16, Tint_19, Tint_20, Tint_21, Tint_27), economic indicators such as household income or local workforce employment (Tint_09, Tint_11, Tint_14, Tint_17, Tint_27, Tint_28), educational indicators such as performance of students from community attended programs supported by the port (Tint_11, Tint_17, Tint_22, Tint_25, Tint_26, Tint_27, Tint_28), indicators expressing the effectiveness of financial investments made to solve social problems (Tint_02, Tint_09, Tint_18), and, indicators related to the effectiveness of social programs managed by the port (Tint_01, Tint_02, Tint_07, Tint_08, Tint_09, Tint_11, Tint_19, Tint_22).

Concerning composed indexes indicators, some interviewees referred to the use of existing indexes of their knowledge to evaluate CSP. Indexes were referred to by participants generically, and no further information about how the organisation managed the indicator was provided. Examples referred to: the Human Development Index (HDI) (Tint_04, Tint_11, Tint_17, Tint_21, Tint_26, Tint_28), Ethos Institute social index (Tint_08, Tint_15, Tint_13), Global Reporting Index (GRI) (Tint_12, , Tint_15), and, to the ANTAQ's Environmental Development Index (Tint_08, Tint_10).

Some interviewees pointed out environment-related indicators based on environmental impact concerns raised by stakeholders, but which were under ports' responsibility for control and prevention. Interviewees quoted the indicators for

control, including air emission levels (Tint_18), noise levels (Tint_26) and water quality (Tint_25 Tint_28). However, references were also made to more comprehensive indicators: environmental accidents reported (Tint_20), environmental/educational initiatives promoted by the port (Tint_12), and waste recycling management (Tint_05).

Table 5-21 Themes representing managers' references to CSP indicators

Theme	Main indicators quoted		Participants referring to the theme
Community related indicators	Indicators of negative impacts in the community Number of accidents involving community Number of complains about the port activity Household income Local services use Local workforce employment Educational indicators Educational and cultural indicators Educational performance Literacy levels Number of kids in school Favourability index Reputation index Social policies implemented	Stakeholder satisfaction Population health indicators Dollar per capita invested The relevance of social programs implemented ROI for each social initiative Number of activities performed per year by the port in the community Number of meetings or public hearing events Number of people benefited by social actions Number of social programs developed Number of visits organised to the public Qualitative analysis of the target audience	23
Composed indexes indicators	Ethos institute GRI	Human Development Index IDA - Environmental development index	12
Socio-Environment related indicators	Air emission levels Air pollution Noise levels Number of environmental accidents	Number of environmental education events Waste recycling Water quality level	7
Labour practices related indicators	Employee engagement index Harassment complaints Inclusion or equality indicators age balance age Inclusion Gender balance Gender participation in management and board levels	Number of women in the workforce Number of Work accidents Incidence of occupational diseases Overtime Gender salary gap	6

Table 5-22 Themes representing managers' references to CSP indicators (Cont.)

Theme	Main indicators quoted		Participants referring to the theme
Fair operating practices related indicators	Children workforce use Number of license items attended	Slavery working conditions Tax generation and payment	6
Governance related indicators	Governance maturity Number of satisfactory responses to complaints	Quality of communication plan Volunteering hours or events	4

Six (6) interviewees mentioned several labour practices related indicators in the work environment which could be used for CSP evaluation: the use of an employee engagement index (Tint_04, Tint_10), indicators reporting the level of inclusion and equality perception between employees (e.g., age, gender) (Tint_01, Tint_06, Tint_09), number of accidents involving employees (Tint_03), amount of overtime hours (Tint_07), and, number of harassment complaints reported (Tint_07).

Fair operating practices indicators referred to practices adopted by the port to run the business that did not infringe on one or more principles supported by national and international laws. Six (6) interviewees referred to indicators included in the overall list of license items attended (Tint_08, Tint_09, Tint_10), the payment of taxes defined by legislation (Tint_03, Tint_09, Tint_14), the inexistence of a child workforce linked to port operations (Tint_07), and, the inexistence of slavery in the port (Tint_07).

Finally, governance indicators referred to indicators that could show how the port was organised in terms of policies and procedures linked to CSP management. Comments from interviewees referred to: the existence of consolidated corporate volunteering programs (Tint_12), the satisfaction of stakeholders about the

processes developed by the port to manage CSP (Tint_21), evaluation of the quality of communication plans (Tint_16), and, evaluation of governance maturity.

The discussion about ways to evaluate CSP marked the end of the interview process. Results obtained in this phase of the study were used to support the construction of the instrument used for Phase 2 of data collection (web-survey). The next section explains how the results obtained from the content analysis were used in the development of the questionnaire included in the survey. In the mixed-method approach with sequential phases of data collection, the next quantitative phase investigates how a larger part of the population perceives the link between the themes created in the qualitative phase and the research questions. Key elements of each SRQ are assessed quantitatively, including one of the sections of the questionnaire dedicated to examining the perception of CSP indicators incorporation in ports. Both qualitative and quantitative results are triangulated and analysed in Chapter 7.

5.9 Development of the Web Survey

The interview outcomes presented in Chapter 5 were used for preparing the online-survey instrument for Phase 2 of the study. The construction of the questions included in sections A to F in the questionnaire is explained in sequence. An example of the questionnaire presented to participants in this phase of the study is available in Appendix C.1.

Section A of the web survey was focused on the demographics of participants. The data collected in this section aimed to provide different characteristics of the units of analysis and observation. The primary outcome of the use of this data was to

provide an overall view about the catachrestic related to participants' positions in their organisation, tenure of participants working in ports, the regions where the organisation had their organisations operating, and the type of operations executed by the organisation.

Section B was focused on the investigation of the meaning of CSP to managers in ports. Participants were asked to score in five-point Likert scales how much they agreed or disagreed with the five themes which emerged from the interviews. One (1) additional theme related to the adoption of voluntary social responsibilities was included in order to explore how the voluntary aspect, mentioned in the literature by Wood (1991), was perceived as part of themes representing CSP.

Section C explored the identification of the social roles of ports and the critical factors driving ports to consider adopting a social role. The first part of this section (C.1) explored how participants agreed/disagreed with themes emerging from the interviews regarding ports' social roles. The questions were based on the five (5) themes emerging from the interviews (see Table 5-7) and analysed through the 5-point Likert-scale. The second part of this section (C.2) explored the level of importance attributed to factors considered relevant for ports to adopt social roles. The objective of this section was to explore why ports would be interested in adopting social roles as part of their scope. The six (6) questions presented to participants were extracted directly from the themes presented in Table 5-9.

Section D investigated how participants perceived the capability of their organisations to manage social impacts, and about perceptions of different criteria considered to prioritise the solution of social impacts. The first part (D.1) was

formed by four (4) items extracted from the main themes presented in Table 5-14. The main aim here was to understand how prepared managers thought their organisations were for managing social impacts, including their pro-activeness and the role of threats (e.g., regulations) to their businesses. The five-point Likert-scale was used to assess agreement/disagreement of participants about these items. Nine (9) items formed the second part (D.2), and participants were asked to say, according to their perceptions, how important the questionnaire items were prioritising the solution of social impacts. The nine (9) items presented in section D.2 were based on a summary of the items presented in Table 5-17 as an adaptation from the priority given to stakeholder groups' management.

Section E investigated how participants agreed/disagreed with the level of development of their organisations to communicate with internal and external stakeholders, the aspects taken into consideration in the establishment of a relationship with stakeholders, and how important were criteria considered to prioritise relationships with stakeholders. The first sub-section (E.1) was formed by two (2) straightforward questions asking if participants agreed their organisations were prepared to deal with the two both internal and external stakeholder groups. The second section (E.2) asked about participants' level of agreement with four (4) items extracted from the themes presented in Table 5-16 as a representation of how their organisations managed the relationship with their stakeholders. The focus here was on the investigation of knowledge about stakeholders' expectations, the proactive approach of the ports towards stakeholder management, and the port's preparedness to deal with stakeholders. To assess if the management of stakeholders was adopted voluntarily, the regulatory influence in ports' stakeholder

management was also investigated. The last part (E.3) of Section E explored how four (4) aspects developed from Table 5-17 were perceived by participants in the development of the relationship with stakeholders: the power of stakeholders to interrupt operations, the influence of their physical proximity as a factor affecting relationship development, the power of regulations, and the interest of the port in having support during difficult times. These four (4) items were selected based on their importance to stakeholder relationships management (Notteboom and Winkelmans, 2003), which is still relevant in the context of CSP management in ports.

Finally, Section F asked participants to identify the incorporation of different indicators in their organisations' management. Questions using a five-point Likert scale asked participants about their perceptions of forty-four (44) indicators selected from a mix of references provided by interviewees (Table 5-21) and the literature review findings presented in Chapter 2 (Appendix A). Seven (7) categories grouped indicators related to CSP management: community, labour practices, human rights, environmental, fair operating practices, and supply chain management.

In each section of the questionnaire, participants were allowed to make qualitative comments about anything they considered important concerning the item under evaluation.

5.10 Summary

This chapter presented the results of data analysis using telephone interviews with 28 participants. Participants were asked four major questions regarding their

understanding of CSP, the social roles of ports, the process of stakeholder management and social issues related to ports, and evaluation of CSP in ports.

Five themes were developed as outcomes of the interviews' content analysis: social development, interaction with the external environment, social performance indicators, management of social impacts and compliance.

While exploring the social roles of ports, five themes were developed: the development of the regional social environment, the need to adapt ports processes to achieve social objectives, acting as a leader in the social dimension, improving the economic status of the region, and maximising ports' economic capabilities to provide social betterment. For social responsibilities, considered part the social roles of ports, different themes emerged from data provided by interviewees: the development port management, the focus on the local development, connection with the external environment, and engagement with employees.

The investigation of the processes of CSP management focused on social impacts and stakeholder management. In terms of social impacts, interviewees talked about the existence of positive and negative social impacts created by ports. Data revealed that different approaches were perceived as appropriate for dealing with stakeholders and social impacts: adoption of a preventive process, compliance with legal requirements, work in a joint effort process, relationship management, management of internal processes, use of external support, and ethnographic research). When discussing stakeholder management, interviewees' perceptions about the importance of stakeholder groups in CSP management revealed a stronger orientation towards external members of the organisation, including society in

general and the regulators. The processes perceived as most important while developing or maintaining relationships with stakeholders were good communication, construction of trustful relationships, understanding about stakeholders, proactive engagement, preparation of the organisation, and adopting a neutral position about the relationship. Finally, aspects considered in the prioritisation of stakeholder claims and social impacts were identified: risk to operational continuity, urgency attributed to the claims presented, the risk to the organisation's reputation, and alignment between stakeholders and organisations' interests. This suggests higher levels of concern about the economic impact of social impacts or stakeholder groups in the port (i.e., interruption of operations).

Regarding the evaluation process of CSP, results revealed different aspects related to how performance in the social dimension could be assessed. The majority of interviewees suggested not to adopt any evaluation process linked to CSP management. Results also suggest that at some point in the CSP assessment, different stakeholders should be included in the process, with several interviewees stating that stakeholders should be involved from the beginning of the evaluation process. The procedures perceived as appropriate to evaluate CSP included qualitative and quantitative approaches (e.g., audits, surveys, stakeholders' interviews, stakeholders' perception analysis), suggesting an overall analysis including numerical and subjective information to define how ports perform in the social dimension. Finally, when asked which indicators could/should be used to evaluate CSP in ports, participants referred to indicators related to community engagement, socio-environment, labour practices, fair operating practices,

governance, and composed indexes to assess how ports performed in the social dimension.

The findings of this qualitative analysis were used to prepare a survey questionnaire that was administered online and designed to investigate how a larger part of port representatives perceive the management of the social dimension in their industry. The survey results are presented in the next chapter.

Chapter 6: Quantitative Data Analysis Results

6.1 Introduction

Chapter 5 presented the findings of telephone interviews performed with twenty-eight (28) management representatives from ports organisations in Brazil. Based on themes emerging from the qualitative analysis of the interview data, a web survey questionnaire was developed to collect quantitative data for Phase 2 of the study. The objective of Phase 2 was to test and generalise the qualitative findings from Phase 1 within the targeted population under investigation in this study.

The current chapter complements information provided in Chapter 4 about the methodology employed to collect and analyse quantitative data through the web survey and then presents the results of that analysis. Results from the Phase 2 analysis will be triangulated in Chapter 7, together with the qualitative findings from Phase 1 in order to answer the study's research questions. In this chapter, descriptive statistics are derived from the web survey data and used to provide an overall perspective of respondents' perceptions about different aspects of CSP management. Finally, this chapter uses an Exploratory Factor Analysis (EFA) to explore CSP indicators incorporated in port management, first providing more details about the EFA procedure and then presenting the results which are discussed alone in Chapter 6 and triangulated in Chapter 7.

6.2 The Web Survey Response Rate

The web survey questionnaire developed for this study was distributed to Brazilian port managers during September and October in 2019. It targeted at least one representative from each port organisation included in the list of two-hundred and

five (205) organisations provided by ANTAQ. The recruiting process involved sending each potential participant one invitation e-mail, followed by a maximum of three reminders with ten days interval between each message.

Of the two-hundred and five (205) representatives invited to participate in the survey, one-hundred and one (101) response were recorded, achieving a gross response rate of 49.26%. From this total, twenty-five (25) responses (10.77%) could not be used in the study because those participants did not complete the questionnaire submission, which meant their informed consent was not given. Therefore, the final number of responses considered in the quantitative analysis was seventy-six (76), thus achieving a response rate of 37.07%. Saunders, Lewis & Thornhill (2009, p. 222) stated that 'for most academic studies involving top management or organisations' representatives, a response rate of approximately 35 per cent is reasonable'. Moreover, in their review of response rates analyses, Daikeler et al. (2019) argued that the values suggested by scholars in the past for paper-based surveys are still applicable for online surveys. Therefore, the response rate obtained for Phase 2 of this study was considered satisfactory to meet the study's generalisation objectives in the Brazilian ports' context.

6.3 Demographics of Participants

The demographic information collected from the web survey in Phase 2 of this study (web survey Section A) describes the characteristics of the sample under analysis, including the position occupied by the participant inside the port (A.1), their years of experience working in the port sector (A.2), the regions in Brazil where the company of the participant had active ports operations (A.3), and the type of operation(s) that existed in the port(s) under analysis (A.4).

Figure 6-1 presents the demographics information related to participants' positions inside ports (A.1). Of the seventy-six (76) (100%) participants, one (1) (1.3%) reported occupying a position as a Board Member, six (6) (7.89%) a Chief Executive position (e.g., CEO/CFO/COO), fifteen (15) (20%) a General Manager position, thirty-nine (39) (51.31%) a Division Manager position, and fifteen (15) (19.73%) a Coordination or Section Manager position. Given that managers in the middle and top-level positions have an important role in defining and implementing strategies related to the performance of their organisations, having a total of 80% of respondents included in the higher-management level categories were important to support the findings of this study (DuBrin, 2011).

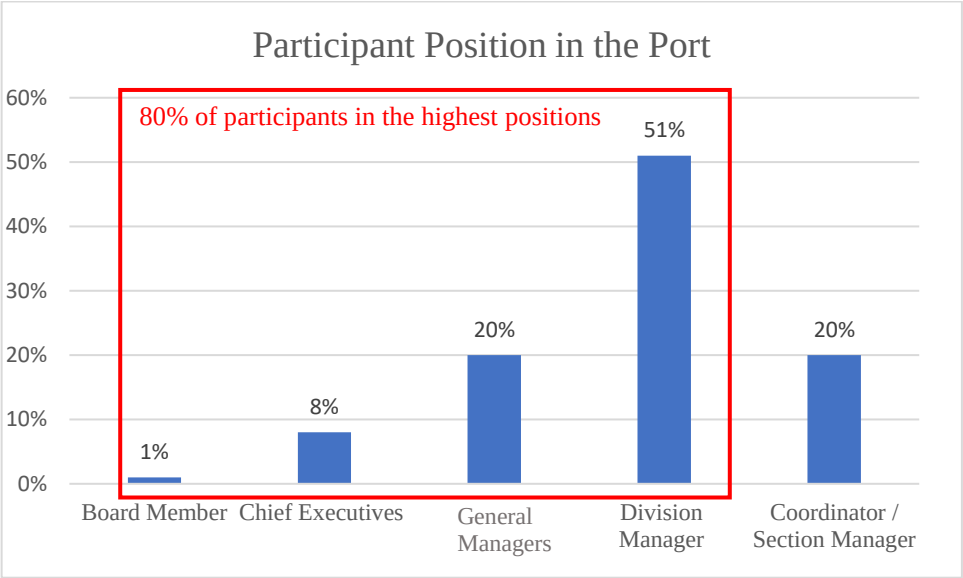

Figure 6-1 Participants' positions inside ports (A.1)

In terms of experience in the port sector (A.2), fourteen (14) (18.42%) of the participants reported having a maximum of five (5) years' experience in the port sector, fourteen (14) (18.42%) had between five (5) and ten (10) years' experience, twenty-two (22) (28.94%) had between ten (10) and fifteen (15) years' experience,

ten (10) (13.15%) had between fifteen (15) and twenty (20) years' experience and sixteen (16) (21.05%) reported having more than twenty (20) years' experience in the sector. In total, 63% of participants reported having more than ten (10) years' experience working in ports, which is a good indication of their capacity to act as key informants based on their knowledge about the sector (Figure 6-2).

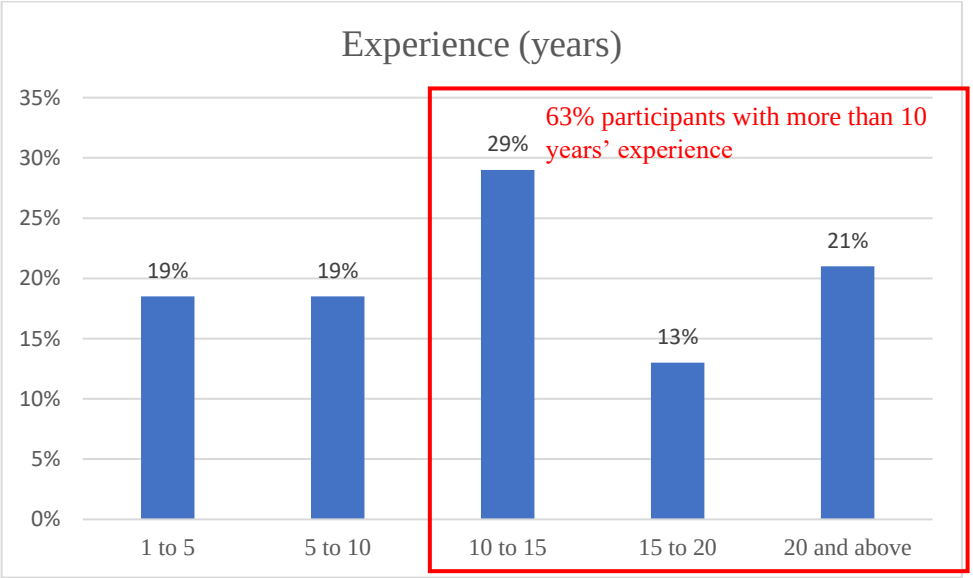

Figure 6-2 Participants' experience working in ports (A.2)

Participants in this study were drawn from four main regions of Brazil (A.3), of which ten (10) participants had operations in ports located in the North region, twenty (20) in the Northeast region, forty-seven (47) in the Southeast region, and twenty-three (23) in the South region. It is notable that of the seventy-six (76) respondents, fifteen (15) reported having operations in more than one region in Brazil, which explains why the sum of the total number of results obtained (one-hundred responses) exceeds the number of participants in the study (seventy-six), and percentages were not applied so as not to confuse (Figure 6-3).

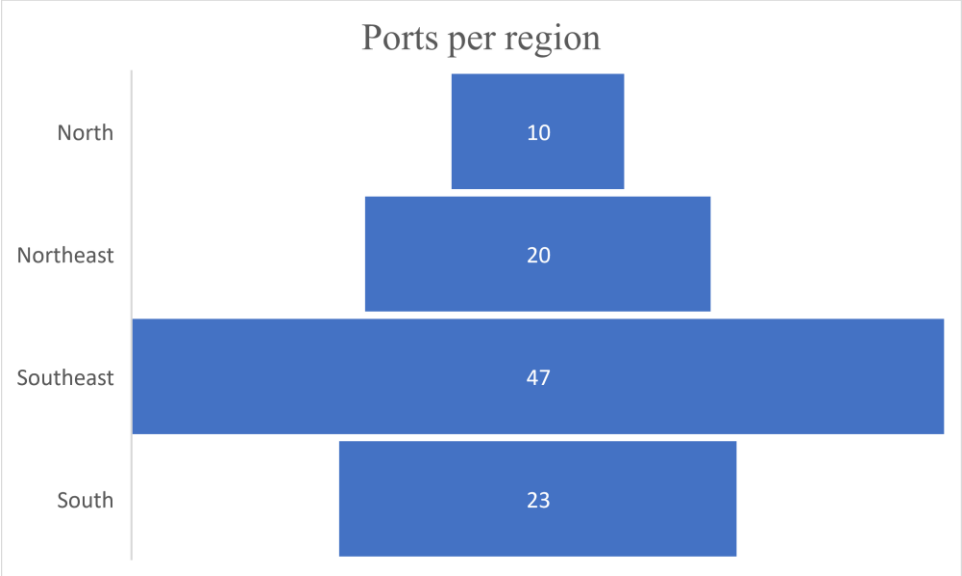

Figure 6-3: Distribution of participants across the regions of Brazil (A.3)

Finally, the demographics data collected in the web survey also recorded the types of operations undertaken in participants' ports organisations (A.4). In this part of the survey, participants were asked what operations they had to manage in their units (Figure 6-4). Twelve (12) participants reported their ports dealing with multi-purpose operations, forty-five (45) reported bulk cargo operations, twenty-one (21) reported container operations, ten (10) reported project cargo operations, three (3) reported offshore support operations, six (6) reported roll-on/roll-off operations, twenty-one (21) reported general cargo operations, and one (1) participant reported cruise operations. Two (2) participants reported being representatives of the public port authority without specifying the type of operation of their ports, and therefore they were grouped into the support activities group, bringing that total to seven (7). Again, percentages have not been included so as to avoid confusion about data interpretation.

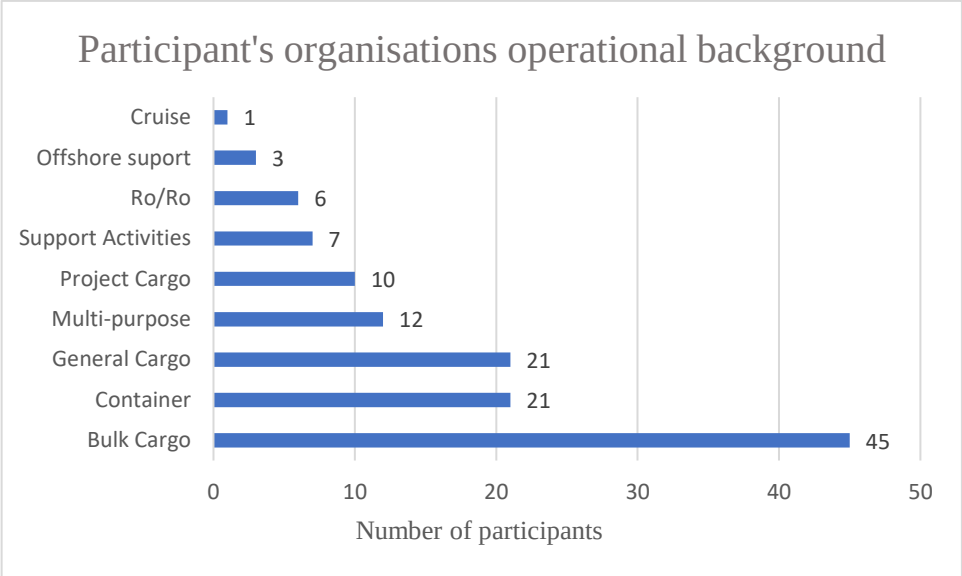

Figure 6-4 Ports' operations reported by participants (A.5)

6.4 Descriptive Statistics

This section presents the descriptive statistics of responses to questions in sections B to F of the web survey questionnaire used in Phase 2 of the study. A five-point Likert scale was used to measure managers' perceptions and attitudes concerning a range of variables derived from the qualitative analysis of the interviews (Loether and McTavish, 1974).

According to Fisher & Marshall (2009, p. 95), 'descriptive statistics are the numerical and graphical techniques used to organise, present and analyse data'. A critical aspect of using descriptive statistics is how the type of measure defined by the scale representing the nominal, ordinal and/or continuous measurements formats are employed to answer the survey questions (Fisher and Marshall, 2009). In this study, ordinal scales were used to focus on the level of agreement with, or the level of importance attributed to a range of CSP-related themes by participants (Loether and McTavish, 1974). In each question analysed, participants had the

option to answer, “I do not know”, if they felt unable to answer the question. When participants selected this option or did not provide any score to a question, their answers were considered as missing data (discussed later in this section).

Descriptive analysis of the answers for each item in the questionnaire included the number of responses, median, mean, 5% trimmed mean, standard deviation, skewness and Kurtosis (Appendix F). The mean and 5% trimmed mean for each item were very similar, which confirmed there were no extreme scores present in the data (Rovai et al., 2013). The minimum and maximum standard deviations found in the data set were 0.501 and 1.41 respectively, with no covariance score detected above 1 (standard deviation/mean > 1) (Loether and McTavish, 1974, Fisher and Marshall, 2009). Skewness and Kurtosis were, in most cases, within the optimal value between +/3.00 and +/- 10 respectively (Kline, 2015). Overall skewness in 31% of the answers and Kurtosis in 37% of the answers yielded values above/below the recommended values, with only two variables (D.2.5 and F.1.32) presenting a combination of both. According to Rovai et al. (2013), these values are not problematic in terms of data normality assurance, having no significant impact on the results. Appendix F presents the descriptive statistics for Sections B to F in full.

Although different aspects of descriptive statistics are presented in Appendix F, this chapter focuses discussion on the mean, standard deviation and the mode. This decision was made because these values tend to show the central tendency of results (mean = $\bar{x}$), the deviation from the central tendency measure (standard deviation = σ), and the cluster of results (mode = Mo). These results help reveal the orientation of participants towards the values reflected in the scales used in the web survey

(Loether and McTavish, 1974). Two main Likert-scale formats were used in the web survey, and interpretation of results differs depending on the type of scale. The first scale represents participants' level of agreement with a statement, from complete disagreement, passing through a neutral point in the scale, to complete agreement. In this type of scale, $1 \leq \overline{x} < 2$ represents disagreement, $2 \leq \overline{x} < 4$ represents neutrality, and $4 \leq \overline{x} \leq 5$ represents agreement. The other scale used in some of the questions refers to a continuum representing mean scores, ranging from lowest to highest (i.e., level of importance or incorporation). In this scale, $\overline{x}$ values $1 \leq \overline{x} < 2$ represents the low level, $2 \leq \overline{x} < 4$ represents the moderate level, and $4 \leq \overline{x} \leq 5$ represents the high level. The scale interpretation and scores were defined based on suggestions from the literature provided by Matell and Jacoby (1971) and Fisher and Marshall (2009).

The definition of parameters for the scale analysis presented above has consequences for presenting the results of all the items discussed in the survey phase. In particular, in Section 6.7.4 (i.e., Table 6 – 11), this format adopted to assess the scale linked to the level of incorporation framed results in two categories only (i.e., moderate incorporation and high incorporation). This is why items F.1.8, F.1.11 and F.1.42 had fallen into the moderate incorporation spectrum although some readers might consider them, based on the mean scores results, in the "minimally incorporated" category. Overall, the final interpretation must be performed considering the analysis aspects mentioned above and grounded in theory linked to the analysis of descriptive statistics scores.

6.4.1 Reliability of the Constructs

The analysis of the Cronbach's Alpha (α), also referred to as the internal consistency, was conducted to evaluate reliability for each section of the web survey questionnaire. Although current literature suggests the use of an α above .70 as a good measure of reliability (Bernardi, 1994), it is important to consider this threshold value in the context of analysis results, not merely in terms of the value *per se* (Schmitt, 1996). Therefore, in the case of the constructs of the questionnaire, although sections D.1, E.2 presented α values under 0.7 for the Cronbach's Alpha, both were very close to the value targeted for claiming reliability of results (Spillan et al., 2013, Bernardi, 1994). Further to this, analysis of the Cronbach's Alpha and the Standardised Cronbach's Alpha (Table 6-1) presented a minimal difference between values, confirming the reliability of the scales according to this criterion (Rovai et al., 2013).

Table 6-1 Reliability analysis of the questionnaire constructs

Scale/Construct	Number of Items	Cronbach's Alpha (a)	Cronbach's Alpha Based on standardised Items (b)	(a)-(b)
B: The understanding about CSP	6	0.756	0.792	0.036
C.1: The social roles of ports	5	0.707	0.727	0.02
C.2: Reasons to adopt a social role	6	0.781	0.790	0.009
D.1: Social impacts management practice	4	0.692	0.692	0
D.2: Priority criteria for social impacts mitigation	9	0.796	0.803	0.007
E.1: Preparedness to manage different stakeholders	2	0.800	0.802	0.002

Table 6-2 Reliability analysis of the questionnaire constructs (Cont.)

Scale/Construct	Number of Items	Cronbach's Alpha (a)	Cronbach's Alpha Based on standardised Items (b)	(a)-(b)
E.2: Stakeholders' management practice	4	0.835	0.837	0.002
E.3: Priority criteria for stakeholders' management	4	0.657	0.659	0.002
F: Social indicators incorporation by ports	44	0.969	0.970	0.001

6.4.2 The Treatment of Missing Data

In general, the treatment of missing data is usually not the focus of a substantive study. However, failing to treat missing data properly can lead to serious problems, such as: the introduction of potential bias in parameter estimation; difficulty ensuring generalisability of results; loss of information, which in turn decreases statistical power and increases the standard errors; and/or, problems defining the statistical procedure to be used because most of the statistical procedures are designed for complete data (Dong and Peng, 2013). Hair et al. (2010) suggested that variables with more than 15% missing values should be deleted, while Saunders, et al. (2006) considered the treatment for missing data between 5% to 20% rate without the need for deletion.

To proceed with the data treatment, Dong and Peng (2013) emphasised the need to understand if data is missing completely at random (MCAR), missing at random (MAR), or missing not at random (MNAR). Except for the MNAR, scholars suggest methods for data imputation such as multiple imputations, listwise deletion, mean substitution, hotdecking, regression imputation, and single imputation (Saunders, et al. 2006).

In this study, data presented MCAR characteristics as it was not possible to identify any correlation between the missing data and the characteristics of participants (e.g., demographics influencing non-response of items) or specific problematic items in the questionnaire (non-response above 15%). From sections B to F, the highest missing data rate observed was 11% (Item F.8), which is still under the 15% cut-off rate for deletion suggested in the literature. Detailed information about the percentage of missing data per item is presented in Table 6-2. Given the MCAR nature of missing data, SPSS 26 was used to perform regression imputation (or conditional mean imputation) because this offer, in theory, better estimates for missing data compared to other methods (Saunders et al. 2006). Saunders et al. (2006, p.23) explained their preference for this method because regression imputation obtains a convergence of values, with less variance and random errors, by running a process where:

> Cases with complete data for the predictor variables are used to generate the regression equation; the equation is then used to predict missing values for incomplete cases. In an iterative process, values for the missing variable are inserted, and then all cases are used to predict the dependent variable. These steps are repeated until there is little difference between the predicted values from one step to the next. That is, they converge. The predictors from the last round are the ones that are used to replace the missing values.

Once the last step of replacing missing data was done with the values obtained from the regression imputation, analysis of data from each section of the web survey was performed, as described below.

Table 6-3 Items distribution in different percentages observed

Percentage of missing data per item*							
0%	**1%**	**3%**	**4%**	**5%**	**7%**	**8%**	**11%**
B.1	B.3	F.1.4	B.6	D.2.4	F.3	F.10	F.8
B.2	B.4	F.7	F.6	F.2	F.12	F.15	
C.1.1	C.1.3	F.18	F.13	F.11	F.30	F.16	
C.1.5	C.2.3	F.24	F.19	F.14	F.41	F.21	
C.2.1	C.2.4	F.26	F.20	F.17		F.42	
C.2.2	C.2.6	F.27	F.29	F.28			
C.2.5	D.1.2	F.32	F.31	F.38			
D.1.1	D.2.1	F.33	F.37	F.39			
D.1.3	E.1.1	F.34		F.40			
D.1.4	E.3.1	F.35					
D.2.2	E.3.2	F.36					
D.2.5	E.3.3	F.43					
D.2.6	E.3.4	F.44					
D.2.7	F.5						
D.2.8	F.9						
D.2.9	F.22						
E.1.2	F.23						
E.2.1	F.25						
E.2.2							
E.2.3							
E.2.4							

*Missing data includes the "I do not know" option as well as no response found in the other options available in the questionnaire.

6.4.3 Comprehension of CSP Management

Answers to questions B.1 to B.6 (Section B) represented participants' level of agreement on variables representing the concept of CSP in ports. Questions related to items B.1 to B.5 were developed from the themes drawn from the qualitative analysis of data from Phase 1 of this study. Complementarily, item B.6 was added to the web survey to verify if the discretionary corporate social responsibility mentioned by Wood (1991b) although not emerging as a theme during the qualitative analysis, was also perceived as being important by participants. Table 6-3 presents Question B and the results obtained after data analysis, and Figure 6-5 offers a graphical representation of the results.

Table 6-4 Items representing CSP in ports according to managers perceptions

Question: For me, the concept of Corporate Social performance is related to:	Mean	Mode	SD
B.1 – The way we interact with the external environment around us.	4.43	5.00	0.66
B.2 - The way we participate in the region's social development.	4.50	5.00	0.60
B.3 - The way we comply with the regulations that the company needs to follow.	3.95	5.00	1.10
B.4 - The way do we manage the indicators necessary to demonstrate our performance in the social dimension.	4.05	4.00	0.79
B.5 - The way we manage processes related to the social dimension.	4.09	4.00	0.88
B.6 - The way we comply with social responsibilities voluntarily defined by the organisation.	4.38	5.00	0.67

Overall, for five (5) out of the six (6) items analysed the mean values were very close or above 4.00, suggesting agreement from participants that themes emerging from the qualitative analysis represent CSP in ports. Also, the mode presents an indication of overall agreement from participants with the items representing CSP, with scores above 4.00.

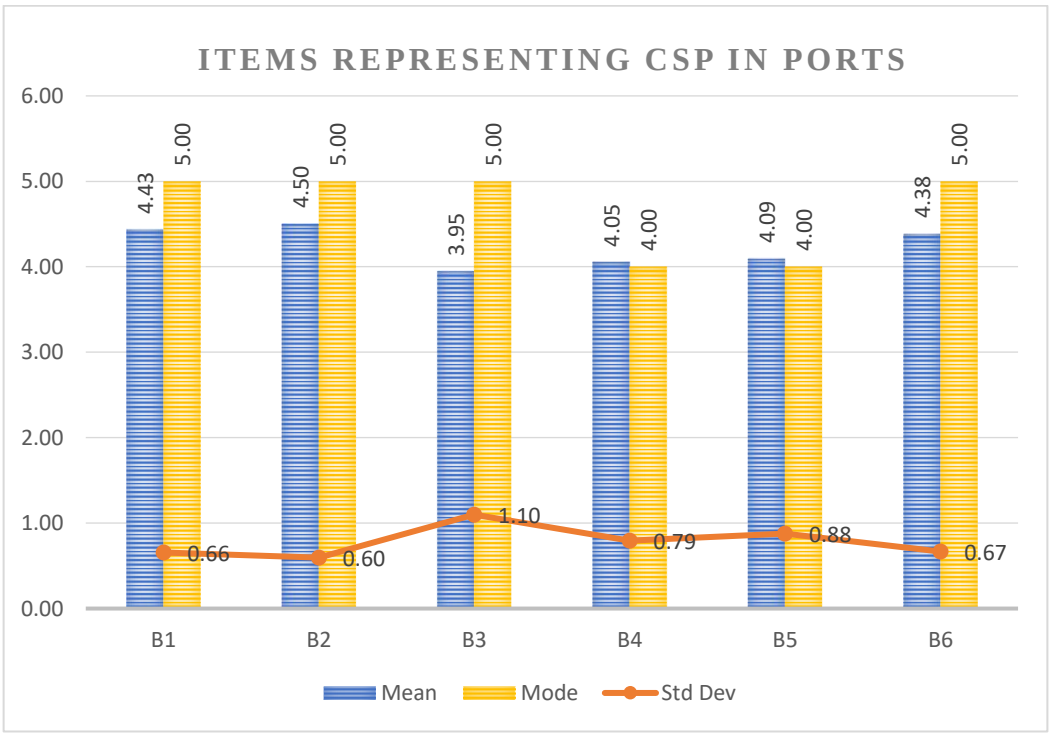

Figure 6-5 Descriptive statistics for items representing CSP in ports

The item reflecting ports' participation in the social development of their region (B.2) was of the highest mean value (4.50), suggesting that this concept was perceived by participants to represent CSP in ports best. The themes, the way ports interacted with their external environment (B.1, mean = 4.43) and how ports complied with the social responsibilities voluntarily adopted (B.6, mean = 4.38) also received high agreements from respondents. The next highest agreement levels were for the concepts, how the port created processes to manage the social dimension of business (B.5, mean = 4.09) and how ports managed indicators of their performance in the social dimension (B.4, mean = 4.05). The only item of a mean value lower than 4.0 was how ports complied with compulsory regulation (B.3, mean = 3.95), which was not considered as agreed by participants as a representation of CSP in ports. Overall, these results suggested that participants agreed that the five (5) items included in the questionnaire Section B do represent CSP in ports.

6.4.4 Comprehension of the Social Roles of Ports.

Section C focused on the analysis of levels of agreement concerning five (5) social roles of ports (C.1) (Table 6-4) and six (6) factors associated with engaging in a social role (C.2) (Table 6.5), all of which emerged from the Phase 1 interview data. Figure 6-6 shows that participation in the social development of their local regions (C.1.1), with the mean score= 4.58, was most favourably perceived by participants as a social role of ports, followed by the social role of improving the economic status of the region where they operate (C.1.3, mean = 4.29) and, thirdly, the role in maximising operational capabilities to promote social development (C.1.5, mean = 4.20). The two social roles of ports, to adapt the existing processes to achieve the

goals defined for the social dimension (C.1.2, mean = 3.75) and to become the leaders of the social development of the region where they operate (C.1.4, mean = 3.49), were both of mean values under 4.00, which suggests neutrality by respondents concerning these items. Although the mode scores for these items were equal to 4.00, suggesting that the highest number of respondents agreed with these items representing the social role, the standard deviations were close to or above 1, which suggests that the scores oscillated significantly within the sample in these two items.

Table 6-5 Items representing the social roles of ports

Question: For me, the social role of the port is:		Mean	Mode	SD
C1.1	To promote the social development of the region where we operate.	4.58	5.00	0.59
C1.2	To adapt its processes aiming to achieve objectives defined in the social dimension.	3.75	4.00	0.91
C1.3	To improve the economic status of the region where we operate.	4.29	4.00	0.77
C1.4	To lead the social development of the region(s) where we operate.	3.49	4.00	1.12
C1.5	To maximise the operational capabilities to promote social development.	4.20	4.00	0.83

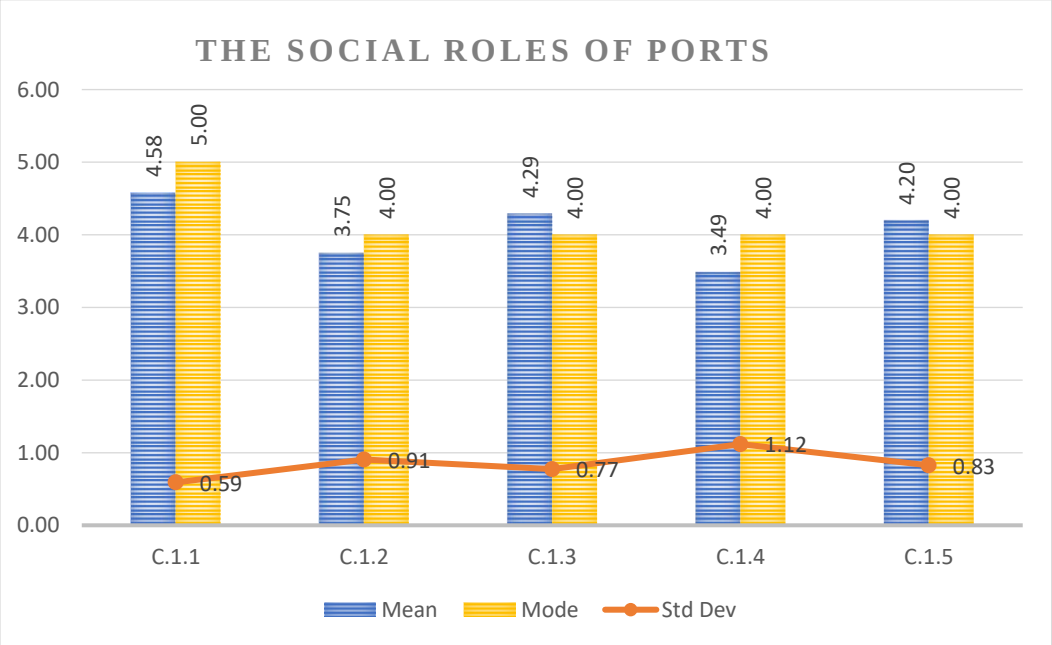

Figure 6-6 Statistics scores for the social roles of ports

In section C.2 of the web survey, participants were asked about the level of importance of factors affecting a port's adoption of a social role. The description of these items is presented in Table 6-5, and the statistical results are presented in Figure 6-7.

Table 6-6 The reasons to engage in a social role

Question: Please indicate the level of importance of the factors influencing your company to adopt a social role:		Mean	Mode	SD
C.2.1	Fulfilment of the social responsibilities voluntarily defined by the organisation	4.08	4.00	0.81
C.2.2	Prevention of problems escalation	4.03	4.00	0.83
C.2.3	To obtain the support from stakeholders	4.17	4.00	0.80
C.2.4	Compliance with regulations	4.57	5.00	0.75
C.2.5	The development of business' strategies	4.29	5.00	0.84
C.2.6	Retribution for the exploitation of natural resources	3.71	4.00	1.09

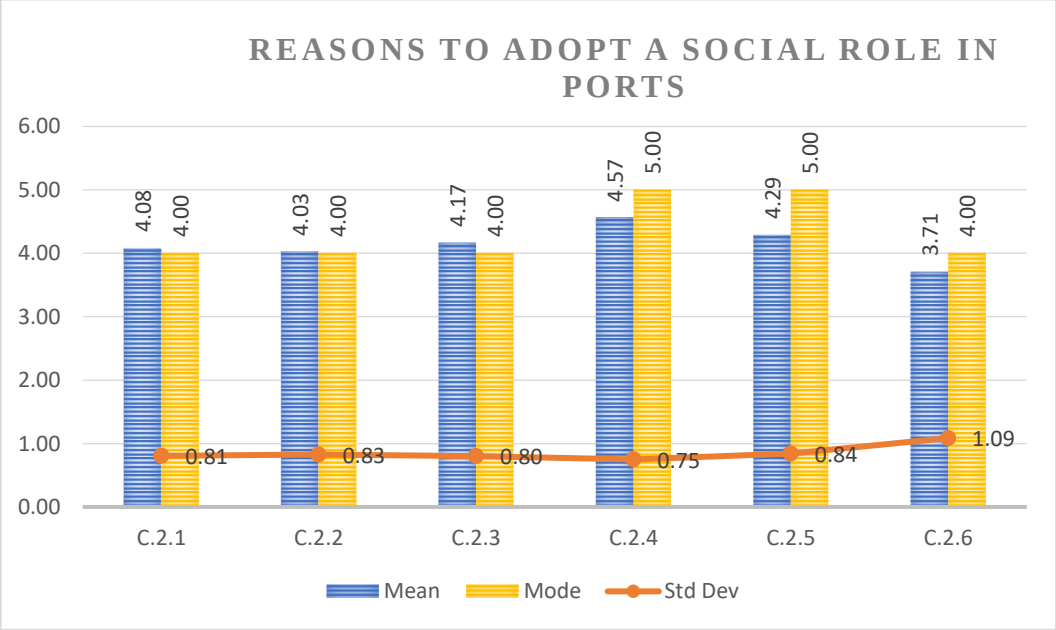

Figure 6-7 Statistics scores for the reasons to engage in a social role

Results show that all items' mean scores are above 4.00, except item C.2.6, suggesting that items C.2.1 to C.2.5 were deemed by participants to have high importance in influencing ports' engagement in social roles. Among these

influences, the highest mean value was linked to compliance with regulations (C.2.4, mean = 4.57), followed by the development of business strategies (C.2.5, mean = 4.29), to obtain the support of stakeholders (C.2.3, mean = 4.17), the fulfilment of social responsibilities voluntarily defined by the organisation (C.2.1, mean = 4.08), and, the prevention of problems escalation (C.2.2, mean = 4.03). The only factor with a mean score under 4 was the retribution for natural resources exploitation (C.2.6), with a mean value of $\bar{x} = 3.71$ and standard deviation above 1 ($\sigma = 1.09$). This result suggests that item C.2.6 was perceived as having moderate importance in affecting ports' adoption of social roles.

6.4.5 Social Impacts Management Processes in Ports

In section D of the web survey questionnaire, participants were asked to share their perceptions of processes involved in the management of social impacts by ports. Two (2) aspects were investigated: the processes adopted in the management of social impacts (D.1), and the criteria used to prioritise social impacts solutions (D.2). In both sections, the items presented were an outcome of the qualitative analysis of interviews.

Section D.1 asked participants about their levels of agreement with the existing characteristics of processes used to manage social impacts in their ports. The items presented to managers in this section are presented in Table 6-6, and the statistical results are shown in Figure 6-8.

Table 6-7 Characteristics of ports' processes to manage social impacts

Question: My company		Mean	Mode	SD
D.1.1	is able to manage social impacts without the need of external knowledge (e.g., consultancy)	3.34	4.00	1.03
D.1.2	manages negative social impacts of operations before they affect stakeholders	3.95	4.00	0.96
D.1.3	only manages social impacts if they represent a risk to the port's operation	3.42	4.00	1.03
D.1.4	has all the managers in the company prepared to deal with social impacts (from identification to the solution implementation)	3.54	4.00	1.09

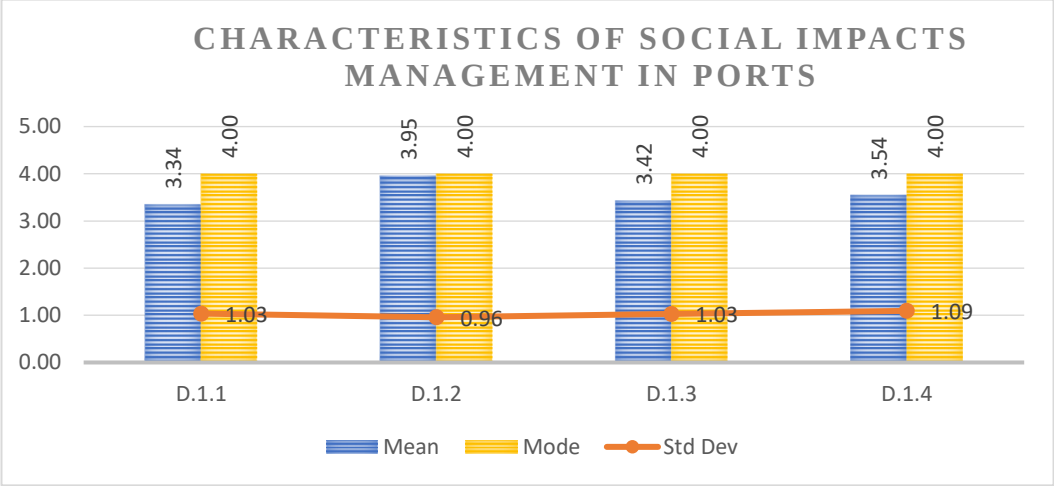

Figure 6-8 Statistics scores for the characteristics of processes employed to manage social impacts in ports.

Notably, all four (4) items in Section D.1 presented standard deviation values close or above to 1, suggesting an oscillation of answers among participants. Moreover, although all items presented mean scores above the median value (3.00), it seems that the perceptions of managers tended to be neutral concerning the way their organisations managed social impacts at the time. Moreover, the format of the web survey questions required a specific interpretation of results. For example, based on the $\bar{x}$ scores, participants did not agree that their organisations were capable of managing social impacts without external support (D.1.1 $\bar{x}$ =3.34), nor that their

organisations managed social impacts before stakeholders were affected (D.1.2, $\bar{x}$ = 3.95). The mean ($\bar{x}$) scores also suggested that participants disagreed that their companies only managed social impacts when they represented a risk to port's operation (D.1.3, $\bar{x}$ = 3.42), and that their organisations had its managers prepared to deal with social impacts, including identification and elimination of the impact (D.1.4, $\bar{x}$ = 3.54).

In addition to section D.1, participants were also asked to rate the level of importance of nine (9) factors determining the priority given to addressing negative social impacts (Section D.2). Description of these items is available in Table 6-7, and the statistical results are presented in Figure 6-9.

Table 6-8 Factors considered to prioritise social impacts solution by ports

Question: Please indicate the level of importance that your company gives to the following factors to prioritise the solution of negative social impacts identified:		**Mean**	**Mode**	**SD**
D.2.1	Return of investment (e.g., there is a benefit for the company mitigating the social impact).	3.63	4.00	1.00
D.2.2	Risk of operations' interruption	4.62	5.00	0.58
D.2.3	Complexity of the social impact to solve	3.78	4.00	0.95
D.2.4	Validity of the social impact presented (i.e., linked to the port operation)	4.01	4.00	0.80
D.2.5	The risk that the social impact present to human lives	4.80	5.00	0.56
D.2.6	Risk to company's reputation/image	4.62	5.00	0.56
D.2.7	Alignment of the social impact solution with the strategy of the company	4.39	5.00	0.83
D.2.8	The urgency defined by the port to solve the negative social impact	4.13	5.00	0.89
D.2.9	The need to comply with regulations	4.61	5.00	0.61

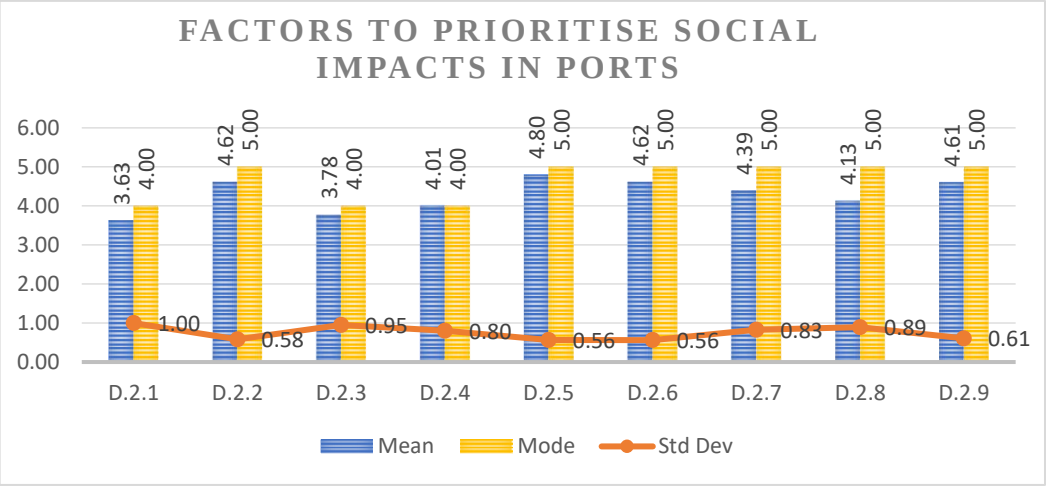

Figure 6-9 Statistics scores of criteria considered in the prioritisation of social impacts solution

Results showed that seven (7) out of nine (9) items of mean values over 4.00 were deemed very to extremely important when prioritising the management of negative social impacts. The risk that the social impact poses to human lives (D.2.5) was ranked as the most essential aspect for prioritising action on social impacts ($\bar{x}$ = 4.8), followed by the risk to operations interruption (D.2.2, $\bar{x}$ = 4.61), the risk to the image/reputation of the company (D.2.6, $\bar{x}$ = 4.62), and the need to comply with regulations (D.2.9, $\bar{x}$ = 4.61). The sequence of scores continued with the priority being defined by the alignment of the social impact solution with the business strategy (D.2.7, $\bar{x}$ = 4.39), followed by the urgency defined by the company (D.2.8, $\bar{x}$ = 4.13), and the link of the social impact with the ports' operation (D.2.4, $\bar{x}$ = 4.01). Two (2) items had scores under 4.00: the level of complexity of the social impact needing solution (D.2.3, mean = 3.77), and the return that the solution could bring to the company if the investment was deemed necessary (D.2.1, $\bar{x}$ = 3.63). These scores suggested only moderate importance attributed to these two (2) items in the priority definition of negative social impacts solution.

6.4.6 Management of Stakeholders in CSP

In section E of the web survey questionnaire, participants were invited to evaluate three (3) aspects of stakeholder management in the realm of CSP: 1) their level of agreement with the proposition that their companies communicated well with internal and external stakeholders (E.1); 2) their perceptions of the characteristics presented in stakeholder management in their companies' processes (E.2); and, 3) what were perceived as important factors for ranking the importance of relationships with stakeholders (E.3).

Scores linked to the level of development of communication with stakeholders inside and outside the organisation (E.1) is presented in Table 6-8, and the descriptive statistics scores are shown in Figure 6-10. Overall, managers participating in the web survey expressed high levels of agreement that their companies were prepared to communicate with internal stakeholders (E.1.1, $\bar{x}$ = 4.01) and external stakeholders (E.1.2, $\bar{x}$ = 4.21). These results suggest that the respondents' organisations were slightly more prepared to deal with external stakeholders than internal stakeholders.

Table 6-9 Ports communication characteristics with different stakeholders

Question: My company has well-developed processes to communicate with:		**Mean**	**Mode**	**SD**
E.1.1	Internal stakeholders	4.01	4.00	0.88
E.1.2	External stakeholders	4.21	4.00	0.82

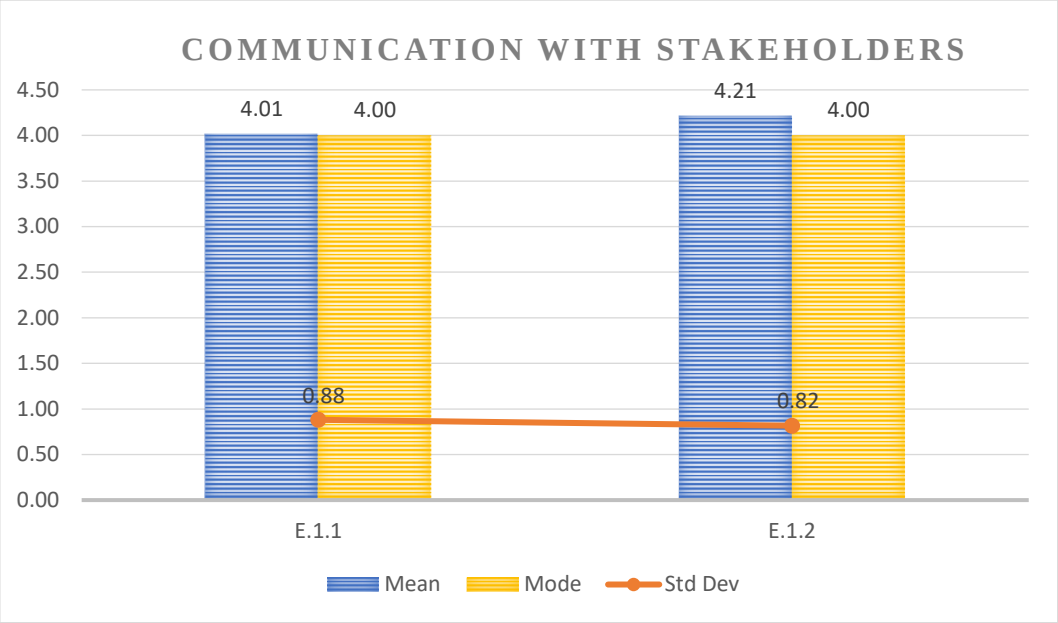

Figure 6-10 Statistics scores inherent to communication with stakeholders in ports

Source: the author

In section E.2, participants were asked to express their levels of agreement with the characteristics of stakeholders management processes present in the daily operation of their ports. The items evaluated are presented in Table 6-9, and the statistical results are presented in Figure 6-11. Results from this section need to be assessed in a different manner because two items (E.2.3 and E.2.4) were designed reversed. Therefore, although the ranking of items still can be used in the discussion of results, for this specific section (i.e., E.2) the analysis will consider the limitations of the use of reversed items.

Table 6-10 Characteristics of ports' stakeholder management in the realm of CSP

Question: My company:		Mean	Mode	SD
E.2.1	Considers the expectations that each stakeholder has about CSP when developing the relationship with them	3.59	4.00	0.96
E.2.2	Has all managers prepared to deal with all stakeholders interacting with our business.	3.36	4.00	1.06

Table 6-11 Characteristics of ports' stakeholder management in the realm of CSP (Cont.)

Question: My company:		Mean	Mode	SD
E.2.3	Only engages in relationships with stakeholders when it is necessary to do so	2.59	2.00	0.98
E.2.4	In general, only establishes a relationship with stakeholders when the legislation demands it	2.43	2.00	1.07

Overall, the results for all four (4) items fell into the neutrality range ($2 \leq \bar{x} < 4$) of managers' perceptions. The fact that the standard deviation scores are close to 1.00 also suggests high variability in answers provided by the respondents. Mean ($\bar{x}$) and mode (Mo) scores from item E.2.1 suggest that participants generally had neutral perceptions, with a tendency towards an agreement that their companies do consider stakeholders' expectations when establishing relationships with them ($\bar{x}$ = 3.59, Mo = 4.00). The same trend can be seen in responses to item E.2.2, with participants reporting neutrality about the proposition that managers in their companies were prepared to deal with stakeholders who interact with their businesses ($\bar{x}$ = 3.36, Mo = 4.00). In item E.2.3, participants' responses expressed neutrality tending towards disagreement with the proposition their companies only establish relationships with stakeholders when necessary ($\bar{x}$ = 2.59, Mo = 2.00). Similar results were derived from item E.2.4, where participants expressed neutrality tending towards disagreement about the proposition that their companies only established relationships with stakeholders when laws/regulations demanded it ($\bar{x}$ = 2.43, Mo = 2.00). Finally, in Chapter 7 the discussion of results will provide better insights about section E.2 considering the context of the investigation and the implications of reversed items.

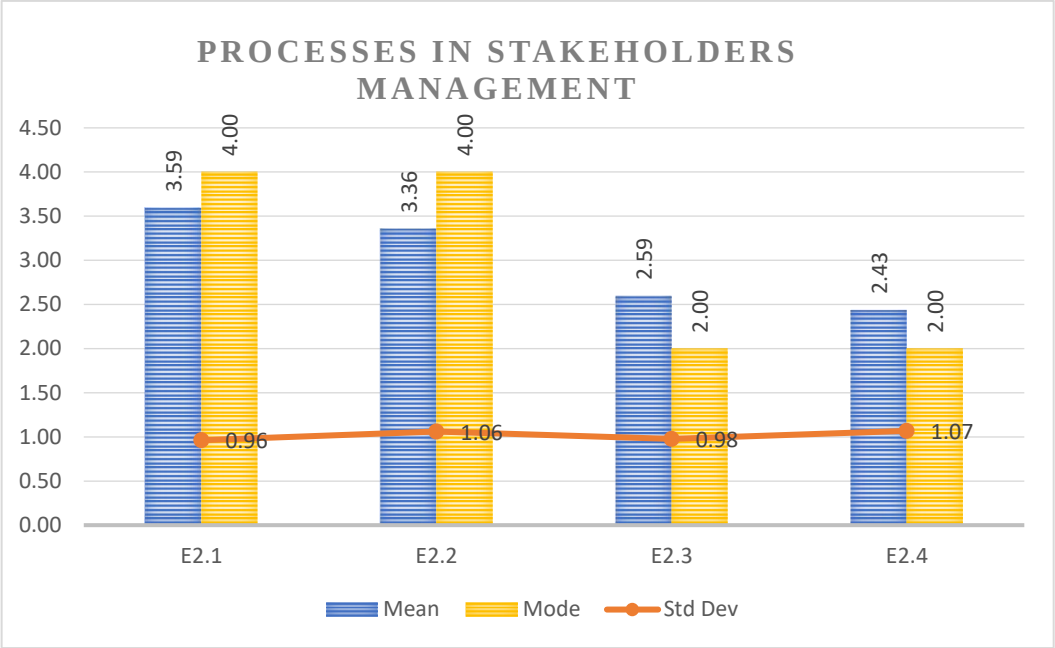

Figure 6-11 Characteristics of ports in the management of stakeholders

The last part of Section E (E.3) in the web survey focused on how port managers perceived the importance of different factors leading their companies to establish relationships with stakeholders. The question and the answer items presented to participants can be seen in Table 6-10, with statistical results reported in Figure 6-12.

Table 6-12 Criteria to set priority in establishing a relationship with stakeholders

Question: Please indicate the level of importance given to the below criteria by your company to develop a relationship with stakeholders:		**Mean**	**Mode**	**SD**
E.3.1	Stakeholders' power to interrupt operations	4.16	5.00	0.95
E.3.2	Stakeholders' geographic proximity with the company	3.67	4.00	0.99
E.3.3	Requirements to comply with regulations	4.50	5.00	0.72
E.3.4	The need for stakeholders' support in difficult moments	4.07	4.00	0.85

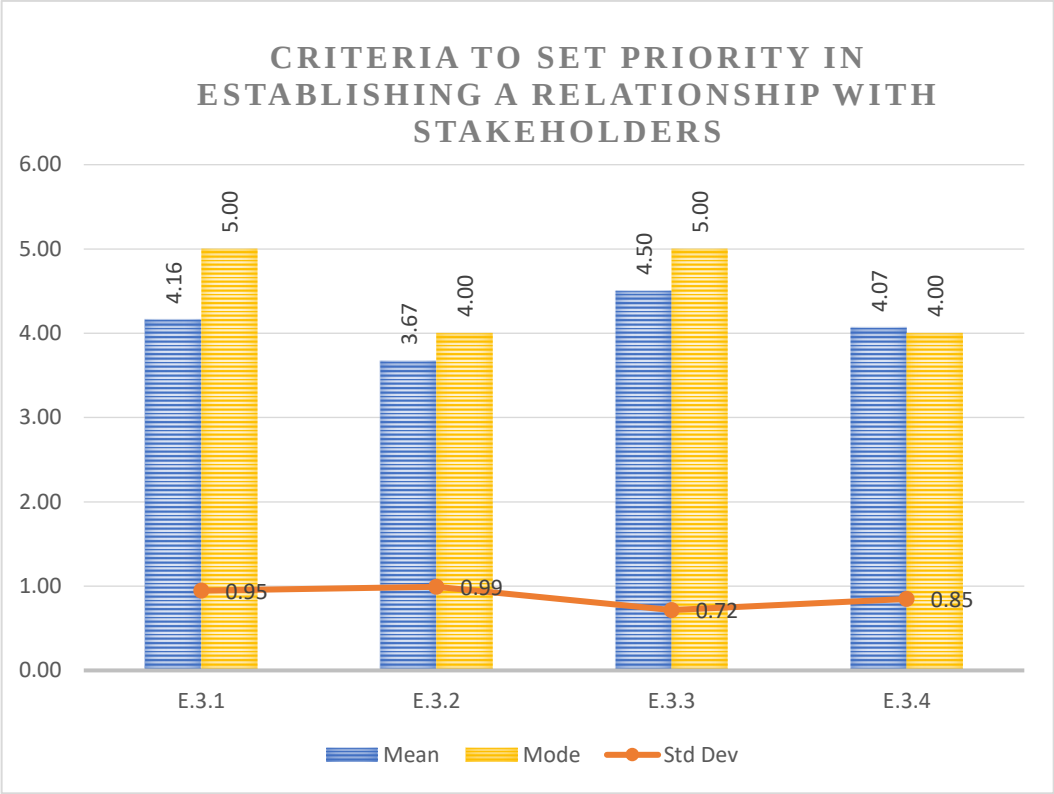

Figure 6-12 Importance of criteria to establish a relationship with stakeholders

Results from Section E.3 of the web survey showed that three (3) criteria (E.3.1, E.3.3 and E.3.4) with mean ($\bar{x}$) values above 4.00 were deemed by participants to be very to extremely important for their company's engagement with stakeholders. Participants rated the need to meet regulations (E.3.3, $\bar{x}$ = 4.50) as the most important factor influencing engagement with stakeholders, followed by the stakeholders' power to interrupt operations (E.3.1, $\bar{x}$ = 4.16) and the need to have stakeholders' support in difficult moments (E.3.4, $\bar{x}$ = 4.07). Stakeholders' geographical proximity to the company was rated as of moderate importance in the establishment of relationships with stakeholders (E.3.2, $\bar{x}$ = 3.67).

6.4.7 Perception of CSP Indicators Incorporation

In the last section of the web survey questionnaire (Section F), participants were asked to rate the level of incorporation of social indicators in their organisations' performance evaluation routine. A set of 44 indicators was produced, based on data from the Phase 1 interviews (as explained in Chapter 4 and Chapter 5) and the review of literature review (an outcome of Chapter 2).

Participants in the web survey were asked to use the five-point Likert scale to rate their company's incorporation of CSP indicators as 'Not incorporated' (1), 'Minimally incorporated' (2), 'Moderately incorporated' (3), 'Very incorporated' (4) or 'Extremely incorporated' (5). Participants also had the option to answer, 'I do not know' (6) if they felt unable to comment on a specific indicator in their company. The results for the mean ($\overline{x}$), mode (Mo) and standard deviation (σ) are presented in Table 6-11 and Table 6-12.

Twenty-nine (29) out of the forty-four (44) CSP indicators in Section F were rated as having moderate incorporation, yielding mean values between 2.00 and 4.00 (Table 6-11). Fifteen (15) out of the forty-four (44) CSP indicators were perceived as having been incorporated (Table 6-12).

Table 6-13 Scores for indicators presenting moderate incorporation

Moderate incorporation				
Indicator ID	**Description**	**Mean**	**Std Dev**	**Mode**
F.1.1	Stakeholders' perception about the port	3.01	1.20	4.00
F.1.2	The financial investments done in the social area	3.33	1.10	3.00
F.1.3	The efficiency of communication with the community	3.13	1.07	3.00
F.1.4	The promotion of education initiatives	3.28	1.19	3.00
F.1.5	The promotion of cultural initiatives	3.08	1.11	3.00
F.1.6	The number of jobs created for community members	3.45	1.17	4.00
F.1.7	Contribution to community health and safety improvement	3.11	1.10	3.00
F.1.8	Management of sensitive groups. (e.g., indigenous groups)	2.46	1.30	1.00
F.1.9	Management of complaints from the community related to the port (e.g., safety and security issues)	3.61	1.10	4.00
F.1.10	Management of due diligence processes involving human rights in ports	3.07	1.41	3.00
F.1.11	Development of staff's know-how about human rights in business	2.80	1.25	3.00
F.1.12	Performance solving human rights grievances	3.22	1.30	4.00
F.1.13	Management of suppliers concerning potential human rights issues	3.07	1.29	4.00
F.1.14	Salary/wage equality between genders	3.68	1.03	4.00
F.1.17	Management of corporate communication towards employees	3.93	0.85	4.00
F.1.20	Diversity promotion inside the port. (e.g., age, gender, ethnic)	3.50	1.22	4.00
F.1.21	Turnover	3.37	1.04	4.00
F.1.23	Initiatives developed to support sustainable use of resources	3.96	0.99	4.00
F.1.24	Promotion of climate change initiatives	3.18	1.18	3.00
F.1.28	Management of responsible political involvement	3.79	1.23	5.00
F.1.30	Management of property rights	3.72	1.25	5.00
F.1.33	Efficiency of the decision-making process	3.97	0.95	4.00
F.1.35	Implementation of social policies	3.50	1.25	4.00
F.1.36	Engagement with stakeholders as part of the governance processes	3.07	1.36	3.00
F.1.38	The alignment between suppliers and the port's social policies	3.30	1.32	4.00
F.1.39	Processes to assess suppliers in the social area	3.03	1.29	3.00
F.1.40	The level of local purchasing	3.38	1.20	3.00
F.1.41	Support to develop local suppliers	3.14	1.18	3.00
F.1.42	Contributions given to developing suppliers' management of social issues	2.61	1.26	3.00

Table 6-14 Statistics scores for indicators presenting higher incorporation

Higher incorporation				
Indicator ID	**Description**	**Mean**	**Std Dev**	**Mode**
F.1.15	Overtime	4.04	0.82	4.00
F.1.16	Quality of labour relations	4.07	0.86	4.00
F.1.18	Performance of health and safety practices	4.45	0.68	5.00
F.1.19	Development/training of the workforce	4.26	0.80	5.00
F.1.22	Management of actions preventing pollution	4.36	0.84	5.00
F.1.25	Actions to promote protection of the natural environment	4.33	0.98	5.00
F.1.26	Effectiveness of response procedures towards environmental problems	4.33	0.94	5.00
F.1.27	Management of anti-corruption practices	4.30	1.00	5.00
F.1.29	Fair competition practices	4.05	1.06	5.00
F.1.31	Adherence to the code of conduct	4.50	0.80	5.00
F.1.32	Taxes paid by the company	4.64	0.79	5.00
F.1.34	Governance transparency	4.04	1.01	5.00
F.1.37	Compliance with regulations	4.71	0.51	5.00
F.1.43	Transparency of the processes to contract services	4.21	0.99	5.00
F.1.44	Contractual compliance (e.g., service payments on time)	4.42	0.91	5.00

For those CSP indicators rated as moderately or very incorporated, descriptive statistics were unable to reveal any patterns or trends concerning their incorporation. As a consequence, an Exploratory Factor Analysis (EFA) was also performed on the Section F data in order to identify influences on CSP incorporation into performance evaluations within the ports under study. The procedures adopted in the EFA are discussed in the sequence below.

As stated in the beginning of the section 6.4, the design of the scale and the interpretation of the descriptive statistics scores placed all the items in the moderate and extreme incorporation categories. Although insights are discussed in Chapter 7,

based on the results obtained, conclusions about the reasons leading to these results need to be considered based on the characteristics of the scale type used. The results and conclusions could be different if for example a binary scale (i.e., incorporated or not incorporated) was used in the study. However, considering the purposes of the EFA application, the current scale was found more adequate despite the limitations that it could bring to the analysis of the incorporation only.

6.5 Underlying Factors Influencing CSP Incorporation in Ports

According to Brown (2006, p.13):

> the fundamental intent of factor analysis is to determine the number and nature of the latent variables or factors that account for the variation and covariation among a set of observed measures, commonly referred to as indicators. Specifically, a factor is an unobservable variable that influences more than one observed measure and that accounts for the correlations among these observed measures. In other words, the observed measures are intercorrelated because they share a common cause (i.e., they are influenced by the same underlying construct).

An EFA was performed on the Section F data, therefore, to identify relationships among the CSP indicator variables. This analysis was based on the common cause accounting for the variation and covariation among scores rating levels of incorporation for the CSP indicators. The factors emerging from this analysis were labelled according to the common cause represented by clusters of variables and then used to examine those factors influencing the incorporation of CSP indicators into the management of participants' port organisations.

6.5.1 Suitability of Data for EFA

To support the use of the EFA technique, a proof of suitability of data was conducted, assessing a range of five (5) methodological variables: (1) the size of the sample, (2) the parametricity of data (normality), (3) the significance of Barlett's Test of Sphericity, (4) high communalities scores, and (5) the Kayzer-Mayer_Olkin (KMO) index with scores > 0.60. These variables are discussed in the sequence below.

a) **Size of the sample**. Although some researchers suggest a minimum sample size equal to 100 for an EFA (Hair et al., 2010), others argue that a combination of qualitative characteristics of the outcome analysis should be used to indicate the data suitability based on the (a) sample size; that is, (b) a high number of overall variables in the model, with (c) a small number of factors in the final solution, and (d) high scores for the loadings inside each factor (de Winter et al., 2009, Preacher and MacCallum, 2002). In this study, seventy-six (76) participants (a) were assessed as being adequate for the EFA in combination to the fact that the data analysed presented two of the three characteristics mentioned above (i.e., with two factors retained in the final solution (c) and high loading scores for variables in these factors (d)).
b) **Parametricity of data (normality)**. Pallant (2013) argued that this assessment is necessary, suggesting parametricity analysis by confirming the skewness and kurtosis values of answers to the web survey questions. Kline (2015) suggested using parameters of normality skewness scores between +/-3 and kurtosis scores between +/- 10. The values proposed by Kline (2015) can be observed across almost all items in Section F of the web

survey questionnaire, with only the variable F.1.32 presenting values outside the suggested range (Skewness = -3.061 and Kurtosis = 10.755). No further action was taken for the F.1.32 variable because its impact on the rest of the variables was negligible.

c) **Significance of Bartlett's Test of Sphericity**. According to the criteria for employing an EFA, the test should be significant at $p<0.05$, which indicates adequate correlations among variables (Pallant, 2013). Adequacy was verified for this study's EFA, which is discussed in the next subsections along with the results from Section F.

d) **High communalities scores.** Observed high communalities scores without cross-loading occurrence is a positive indication of the suitability of data for an EFA (Costello and Osborne (2005)). In this study, communalities values were found to be above the expected value of 0.60, with no cross-loading observed during the rotation processes.

e) **The Kaiser-Mayer-Olkin (KMO) index with scores > 0.60**. The KMO value proposed was used to define cut off values for the loading of variables in each factor (Rovai et al., 2013). The steps involved in the KMO calculation process and the decisions made about the retention of factors are included in the discussion of the results in the sequence below.

To ensure there were no biases in the instrument used to collect data for the EFA, a Common Method Bias (CMB) test was conducted (Chang et al., 2010). For the CMB analysis, Herman's single-factor analysis method was employed, with the forty-four (44) CSP indicator variables loaded into a single forced factor analysis using SPSS 26 (Podsakoff et al., 2003). The objective of calculating the CMB was

to find out if the Cumulative Variance (CV) value was below 50%, thus indicating the absence of bias in the instrument (Eichhorn, 2014). Table 6-13 presents results from the CMB analysis, confirming the CV value of 43.33% for 1-factor loading.

Table 6-15 Results of the Common Method Bias (CMB)

Total Variance Explained						
Factor	Initial Eigenvalues			Extraction Sums of Squared Loadings		
	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %
1	19.603	44.552	44.552	19.067	43.333	43.333
2	3.689	8.384	52.936			
3	2.252	5.119	58.055			
4…	1.817	4.129	62.183			

Extraction Method: Principal Axis Factoring. Source: the author

6.5.2 The Factor Extraction Method

The extraction method definition was necessary to ensure that a clear factor structure was generated as an EFA outcome (Rovai et al., 2013). Brown (2006) described a range of extraction methods available to researchers and suggested that Principal Components Analysis (PCA) is appropriate for less experienced researchers due to its computational simplicity and because PCA has less susceptibility to improper solutions. It is of knowledge of the author that other aspects must be considered in the decision of the extraction method, for example, cases where a Confirmatory Factor Analysis (CFA) follows the EFA. However, the influence of additional factors does not apply to this study as its exploratory purposes will demand only the EFA. As such, this study deployed the PCA, using variables loading scores presented in the rotated component matrix to explain the construct of factors related to CSP incorporation in port management (Pallant, 2013).

6.5.3 The Rotation Method and the Criteria for Factor Retention

The objective of factor extraction in this study was to reduce a large number of variables to a smaller number and distil them into factors which can represent and explain the main elements of the phenomena under analysis (Pallant, 2013, Brown, 2006). It was necessary, therefore, to define which criteria would be used in this study to support the decision of retaining factors arising from the EFA.

Two criteria were used in this study for the production and retention of factors: the Kaiser-Guttman rule and the scree plot. The literature refers to the Kaiser-Guttman rule based on the retention of factors with eigenvalues > 1 and the scree plot based on the retention of factors above the breakpoint in the plot (Williams et al., 2010, Costello and Osborne, 2005, Brown, 2006). Both the Kaiser-Guttman rule and the scree plot have been used together in this study to provide a more reliable estimation of the number of factors to be retained (Brown, 2006).

Another critical aspect of the EFA technique was the decision to use the proper rotation procedure, enabling to foster the interpretability of the factors. Brown (2006) referred to two (2) types of rotation, namely orthogonal and oblique rotation. The orthogonal method tends to be preferred in applied social science research because orthogonally rotated solutions are more easily interpreted. However, Brown (2006) and Williams et al. (2010) argued that orthogonally rotated methods produce factor structures that are uncorrelated, which can impede the application of another type of analysis such as Confirmatory Factor Analysis (CFA). Given the exploratory nature of this study, the orthogonal rotation was adopted because it was considered sufficient for representing results derived through the EFA.

The three (3) orthogonal rotation methods commonly discussed in the literature are varimax, quartimax and equimax, and researchers must define which one of these methods these will be used to draw results (Abdi, 2003). In this study, the Varimax orthogonal rotation was adopted because it can provide reliable outcomes in studies such as this one where there is no pre-existing evidence of a correlation between factors, and where the objective is only to explore the dataset under analysis (Yong and Pearce, 2013). Moreover, compared with other orthogonal rotation methods, varimax offers a better way to interpret data clusters based on the rotated component matrix (Abdi, 2003, Brown, 2006).

6.5.4 Interpretation and Labelling of Factors

Similar to the process of labelling themes during the content analysis performed in the qualitative Phase 1 of this study, labelling of factors were used in the EFA. Factors interpretation was done based on observing shared common causes that could lead them to be clustered in the factor (Brown, 2006). Moreover, during the data reduction, the objective of labelling was to provide short but representative descriptions of the underlying concepts represented by the variables loaded in each factor (Tabachnick and Fidell, 2007). Therefore, the similarity of themes presented in the variables loaded in factors was essential in order to represent a theoretical concept emerging from the results (Yong and Pearce, 2013).

6.5.5 Results of the EFA

As explained in Section 6.5.1 of this thesis, in addition to the parametricity analysis, other criteria were verified to confirm the data suitability before performing the EFA.

An examination of the communalities scores confirmed that the variables used in the EFA had moderate to high extraction scores between 0.60-0.85 (Appendix G). The adequacy of the data set was supported by confirmation of the Kaiser-Meyer-Olkin (KMO) index of 0.864, which is above the recommended value of 0.6 (Table-6-15). Moreover, the Bartlett's Test of Sphericity scores – namely the Chi-square score of 1671.520 – shows statistical significance ($p<0.05$). Hence, the null hypothesis that the correlation matrix seen as an identity matrix is rejected (Table 6-15), thus confirming the adequacy of data for EFA analysis.

Table 6-16 Results for the KMO and Bartlett's sphericity tests

KMO and Bartlett's Test		
Kaiser-Meyer-Olkin Measure of Sampling Adequacy.	0.864	
Bartlett's Test of Sphericity	Approx. Chi-Square	1671.520
	df	351
	Sig.	0.000

Section 6.5.5.1 below gives more detailed information about extractions procedures, factor retention, and factor labelling. The multicriteria approach for factor retention is discussed, to provide robustness to the method, leaving a small space for questions about the decision-making process adopted (Hair et al., 2010).

6.5.5.1 Kaiser's Criterion for Factors Retention

As part of the Kaiser's criterion, analysis of the total variance explained was performed using SPSS 26 to assess the Kaiser's criterion (eigenvalue >1) (Table 6-16). The final solution of the rotations included twenty-seven (27) variables in total, with six (6) factors presenting an eigenvalue higher than 1. The cumulative percentage variance for the six (6) factors retained, based on the Kaiser value,

accounted for 76.73%, which is above the 50% threshold often referred to in the literature, and so supports the adequacy of the EFA analysis (Williams et al., 2010, Brown, 2006).

Table 6-17 Results of the final rotation procedure in EFA

Total Variance Explained									
Compo-nent	Initial Eigenvalues			Extraction Sums of Squared Loadings			Rotation Sums of Squared Loadings		
	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %	Total	% of Variance	Cumulative %
1	**12.2**	**45.290**	**45.290**	**12.2**	**45.290**	**45.290**	**4.03**	**14.957**	**14.957**
2	**2.54**	**9.442**	**54.733**	**2.54**	**9.442**	**54.733**	**3.63**	**13.445**	**28.402**
3	**1.75**	**6.492**	**61.225**	**1.75**	**6.492**	**61.225**	**3.45**	**12.789**	**41.190**
4	**1.62**	**6.000**	**67.225**	**1.62**	**6.000**	**67.225**	**3.44**	**12.775**	**53.965**
5	**1.36**	**5.050**	**72.275**	**1.36**	**5.050**	**72.275**	**3.15**	**11.671**	**65.635**
6	**1.20**	**4.463**	**76.738**	**1.20**	**4.463**	**76.738**	**2.99**	**11.102**	**76.738**
7	0.78	2.916	79.654						
8	0.62	2.322	81.976						
9	0.57	2.111	84.087						
10	0.52	1.935	86.022						
11	0.45	1.673	87.695						
12	0.39	1.474	89.169						
13	0.37	1.386	90.555						
14	0.34	1.269	91.824						
15	0.31	1.159	92.983						
16	0.29	1.106	94.090						
17	0.27	1.014	95.104						
18	0.23	0.870	95.974						
19	0.21	0.787	96.761						
20	0.19	0.706	97.467						
21	0.14	0.549	98.016						
22	0.11	0.434	98.450						
23	0.11	0.407	98.857						
24	0.10	0.384	99.241						
25	0.08	0.304	99.545						
26	0.06	0.254	99.800						
27	0.05	0.200	100.000						

Extraction Method: Principal Component Analysis.

This section explains the identification of variables loaded in a factor, and the criterion for retaining factors and variables in the analysis. Different aspects, such as the loading scores and the retention of factors only if they had a minimum of three (3) variables, were considered in determining the cut-off values for the variables loading. Comrey and Lee (1992) outlined parameters for evaluation, where variables with loading scores above 0.71 are considered excellent, those

above 0.63 are considered very good, those above 0.55 are considered good, those above 0.45 are considered fair, those above 0.32 are considered poor, and, they argue, any value under 0.32 should be abandoned. Hair et al. (2010) based the definition of cut-off values on an inverse relationship between those values and the size of the sample; that is, the smaller the sample, the higher the cut-off value, or *vice-versa*. Costello and Osborne (2005) argued that only factors with at least three (3) variables with loading scores above the cut-off should be retained.

The number of participants in Phase 2 of the study was seventy-six (76), which is below the one hundred (100) participants threshold recommended in the literature for an EFA. Because of this, a 0.63 cut-off value for variables loading was adopted in this study, which denotes the second-best scores for the EFA analysis and decreases the negative impacts of the sample smaller than one-hundred (100) (Hair et al., 2010, Comrey and Lee, 1992). Also, only factors with more than three (3) variables were retained in the final solution (Costello and Osborne, 2005). The final result of the variables loading in the six (6) factors is presented in Table 6-17.

Table 6-18 Results of the initial loading of variables

Rotated Component Matrix[a] (final run)							
ID	Variables	Component					
		1	2	3	4	5	6
F.1.22	Management of actions preventing pollution	0.829	0.16	0.23	0.114	0.21	0.204
F.1.25	Actions to promote protection of the natural environment	0.816	0.16	0.24	0.094	0.22	0.155
F.1.26	Effectiveness of response procedures to environmental problems	0.796	0.29	0.12	0.044	0.22	0.146
F.1.37	Compliance with regulations	0.664	0.19	0.02	0.131	0.05	0.288
F.1.23	Initiatives developed to support sustainable use of natural resources	0.656	0.23	0.23	0.282	0.32	0.046
F.1.39	Processes to assess suppliers in the social dimension	0.254	0.79	0.18	0.237	0.17	0.178
F.1.38	The alignment between suppliers and the port's social policies	0.313	0.73	0.12	0.239	0.28	0.211
F.1.41	Support to develop local suppliers	0.186	0.69	0.33	0.142	0.24	0.214
F.1.40	The level of local purchasing	0.302	0.69	0.2	0.116	0.13	0.257
F.1.42	Contributions given to develop suppliers' management of social issues	0.165	0.66	0.25	0.359	0.19	0.148
F.1.6	The number of jobs created for community members	0.009	0.27	0.8	-0.08	0.32	0.042
F.1.7	Contribution to community health and safety improvement	-0.05	0.4	0.73	0.29	0.21	0.164
F.1.4	The promotion of education initiatives	0.268	0.03	0.71	0.36	0.05	0.164
F.1.5	The promotion of cultural initiatives	0.299	0.16	0.68	0.299	0.07	0.104
F.1.2	The financial investments done in the social dimension	0.357	0.14	0.68	0.216	0.02	0.027
F.1.12	Performance solving human rights grievances	0.163	0.15	0.07	0.834	0.22	0.218
F.1.11	Development of staff's know-how about human rights in business	0.102	0.16	0.32	0.83	0.17	0.076
F.1.10	Management of due diligence processes involving human rights in ports	0.093	0.28	0.16	0.79	0.21	0.046
F.1.13	Management of suppliers in relation to potential human rights issues	0.196	0.28	0.41	0.668	0.19	-0.01
F.1.27	Management of anti-corruption practices	0.262	0.16	0.13	0.174	0.83	0.107
F.1.31	Adherence to the code of conduct	0.393	0.12	0.12	0.214	0.76	0.165
F.1.29	Fair competition practices	0.075	0.23	0.16	0.236	0.74	0.347
F.1.28	Management of responsible political involvement	0.169	0.27	0.14	0.184	0.69	0.032
F.1.44	Contractual compliance (e.g., service payments on time)	0.365	0.12	0.03	-0.06	0.01	0.794
F.1.32	Taxes paid by the company	0.089	0.19	0.09	0.033	0.25	0.794
F.1.14	Salary/wage equality between genders	0.072	0.1	0.14	0.203	0.15	0.748
F.1.43	Transparency of the processes to contract services	0.292	0.4	0.07	0.17	0.07	0.716
	Extraction Method: Principal Component Analysis. Rotation Method: Varimax with Kaiser Normalisation.						
	a. Rotation converged in 7 iterations.						

6.5.5.2 The Scree Test Approach for Factors Retention

While not being prescriptive, Brown (2006), Williams et al. (2010) and Hayton et al. (2004) do all suggest that inexperienced researchers should use caution when adopting the scree test as a decision process due to the risk of ambiguity and subjectivity defining the retention of factors. The scree plot of the final solution for this study is presented in Figure 6-13.

Figure 6-13 Scree plot of the final solution

Based on the Kaiser criterion, factors with eigenvalues greater than one (1) were represented as those above the red line in the plot. The scree plot criterion suggests that the cut-off for retention should be based on the point where the curve has a strong bend and that values before this bend should be retained (Hayton et al., 2004, Williams et al., 2010, Brown, 2006). This pattern is observed after the 6th factor, which aligns with the retention of the factors in combination with the factors retained based on Kaiser's criterion.

6.5.6 The Reliability of EFA Results

The twenty-seven (27) variables loaded in the final solution were used to calculate the Cronbach's Alpha coefficient in order to verify the reliability of the data set (Gliem and Gliem, 2003, Golafshani, 2003). Scores of reliability for each factor are presented in Table 6-17. All six (6) factors had Cronbach's alpha scores above the recommended 0.7, confirming a relatively high level of accuracy in the measurement procedure (Morse et al., 2002, Noble and Smith, 2015).

Table 6-19 Cronbach's alpha for the six (6) retained factors

Factor	Cronbach's Alpha
1	0.906
2	0.916
3	0.877
4	0.912
5	0.878
6	0.852

In the next section, the interpretation and labelling of each factor retained from the EFA are explained and discussed.

6.5.7 Environmental Management (EM) Factor

Five (5) variables were loaded in Factor 1, labelled as environmental management (EM). The variables included in this factor and their respective loading scores refer to: indicators dealing with the management of actions preventing pollution (F.1.22, Loading score = 0.829), actions to promote the protection of the natural environment (F.1.25, 0.816), the effectiveness of response procedures to environmental problems (F.1.26, 0.796), the compliance with regulations (F.1.37, 0.664), and, the initiatives developed to support sustainable use of natural resources (F.1.23, 0.656).

EM was one of the strongest factors that emerged from the EFA, which may be explained by the force of regulations and levels of pressure exerted by stakeholders and communities on ports organisations. Several interviewees mentioned the risks of having financial losses through fines or the interruption of operations, positing this might give to EM factor an outstanding position in terms of underlying ideas representing CSP incorporation in ports.

Braga and Veloso-Gomes (2020) presented how regulations linked to environmental aspects guide the adoption of actions focused on environmental practices in ports. According to Braga & Veloso-Gomes (2020), controls adopted by ports should be linked to: compliance with international conventions, environmental policies, environmental plans, environmental standards, and, linked to the implementation of environmental contingency plans for accidents. Roos and Kliemann Neto (2017) argued that regulations in the Brazilian context had prompted port authorities and regulators to demand a more strategic approach to indicators in the realm of EM, similar to the ones monitoring actions to prevent pollution, or those linked to the promotion of natural environment protection.

The incorporation of indicators developed to support the sustainable use of natural resources finds parallels in literature discussing the strategic and innovative benefits that environmental dimension management can offer (Acciaro et al., 2014). However, although the incorporation of similar indicators can lead to the impression they enjoy a more voluntary adoption, often such indicators are adopted based on direct or indirect requirements presented by regulators (Roos and Kliemann Neto, 2017). Moreover, interview data collected and analysed for Phase

1 of this study suggests that regulations may be one of the most significant influences on an organisation's prioritisation of actions.

6.5.8 Suppliers Management (SM) Factor

Five (5) variables were loaded in Factor 2, labelled as suppliers management (SM). The variables relate to indicators measuring the performance of: processes for assessing suppliers in the social area (F.1.39, 0.790), the alignment between suppliers and the ports' social policies (F.1.38, 0.730), the support to develop local suppliers (F.1.41, 0.690), the level of local purchasing (F.1.41, 0.690), and, the contributions that are given to developing suppliers' management of social issues (F.1.40, 0.660).

The emergence of SM as a factor explaining CSP incorporation in ports emphasises the perceived importance of alignment of supplier development and ports' objectives in the social dimension. The two (2) indicators, level of local purchasing and support to the development of local suppliers, both reflect the concern of ports to make sure their local supply chain players have comparable levels of management development to the port itself (Saunders et al. 2020) . This level of development is connected to operational aspects (e.g., reduced cost) but also to actions taken to avoid social issues that can directly or indirectly affect the ports (e.g., issues related to human-rights aspects of suppliers' operations). Moreover, the existence of indicators focused on the processes of CSP assessment for suppliers can also represent the interest in keeping a closer look at critical stakeholders and having more clarity of the actions adopted by the service providers are aligned with the actions adopted by the ports. The proximity or closer look is probably adopted

to allow a more proactive management approach to the management of the supply chain, including the management of actions and outcomes in the social dimension (Dooms, 2019).

The indicators, the development of suppliers management in the social dimension and the alignment between suppliers and the ports' social policies, can be seen as a reflection of the strategic thinking of ports concerning sustainability practices (Bennett and Gabriel, 2001). These indicators also represent the importance attributed by these port managers to the development of suppliers to a level at which they can contribute to overall sustainability (Notteboom et al., 2020). From a strategic point-of-view, some actions taken by ports to foster the development of CSP throughout the supply chain can turn into market promotion actions capable of placing the organisation in a more competitive position (Lam and Li, 2019).

6.5.9 Community Management (CM) Factor

The five (5) variables representing community management (CM) in the EFA were related to the incorporation of indicators measuring: the number of jobs created for community members (F.1.6, 0.800), the contribution to community health and safety improvement (F.1.7, 0.730), the promotion of educational initiatives (F.1.4, 0.710), the promotion of cultural initiatives (F.1.5, 0.680), and financial investments in the social area (F.1.2, 0.680).

The promotion of educational initiatives and financial investments in the social dimension in the factor CM reflected concerns of organisations about how they could influence on the achieving of sustainability objectives which involved the communities around them (Lozano et al., 2020). The incorporation of these

indicators into organisations performance management may also reflect the concern of managers to protect their organisations, trying to ensure that community stakeholders become partners in the growth of the port instead of enemies of the enterprise (Busquet et al., 2019, Cheon, 2017). Indicators dealing with contributions to community health and safety improvement can be seen as a response to the need to ensure the development of sustainable port activities, but also a way to protect organisations from issues that can interrupt their operations (e.g., pollution or environmental issues involving community members) (Aerts et al., 2015). Preparing port organisations to recognise and effectively manage these kinds of events can help decrease tensions between communities and ports (Cheon, 2017).

The number of jobs created for community members indicator can be seen to represent an interest in keeping a reliable source for the port workforce (Sohn et al., 2015), which sometimes become the survival strategy related to cost management as it becomes more costly to 'import' skilled labour. Further to this, having community members as employees can be beneficial to the port organisation if those community members can work as ambassadors of the organisation inside the community (Jung and Kim, 2015). Finally, and importantly in the Brazilian context, the quota for local employment is sometimes also defined by licencing items to which the port must adhere (Ibañez-Forés et al., 2020).

6.5.10 Human-Rights Management (HRM) Factor

Concerning human-rights management (HRM), four (4) variables loaded in this factor related to CSP incorporation based on: the evaluation of performance in solving human-rights grievances (F.1.12, 0.843), developing staff know-how about

human rights (F.1.11, 0.830), the management of due diligence processes involving human-rights (F.1.10, 0.790), and the management of suppliers concerning potential human-rights issues (F.1.13, 0.668).

The incorporation of indicators that deal with human-rights management represented, first of all, a legal aspect that can become incredibly problematic for ports (Vanelslander, 2016). Although genuine concern for equity and sustainability does exist, the development of sustainable practices and consideration of human rights issues are embedded in the Brazilian regulatory context, vital for the completion and maintenance of licencing processes (Braga and Veloso-Gomes, 2020). Also, indicators related to human-rights management can be a reflection of financing aspects that ports need to comply with in order to receive money from investors (Likosky, 2003). Therefore, although a genuine concern can exist for the adoption of indicators linked to the HRM factor, it can be stated that based on the literature it is evident that their adoption is highly influenced by legal aspects linked to corporate activities (Jabbour et al., 2020).

6.5.11 Compliance Management (CM2) Factor

The fifth factor emerging from the EFA relates to indicators used to evaluate compliance management (CM2) in ports. Four (4) items represent this factor: management of anti-corruption practices (F.1.27, 0.830), adherence to the code of conduct of the company (F.1.31, 0.760), fair competition practices (F.1.29, 0.740), and management of responsible political involvement (F.1.28, 0.690).

The existence of this factor is probably one of the most substantial pieces of evidence of regulatory influence in the Brazilian context. For example, in the past

years, the Brazilian news was flooded with investigations related to corruption within private and public businesses, with some investigations leading to convictions and jail for some top-level executives (Moro, 2018). The CM2 factor's existence may suggest considerable attention should be given to CM2 to avoid these problems with justice – problems which could affect not only business operations but could also impact future growth plans for port organisations (Nardella et al., 2020).

Overall, there might be a concern to manage the CM2 factor because corruption activities lead to unfair competition practices, and can also be linked to activities that place the port in the criminal dimension (e.g., drug smuggling). Therefore, indicators focused on compliance can be a reflection of the concern to eliminate unethical activities from the port. Zheng and Xiao (2020) argued for increased accountability of ports representatives, which can result in more internal controls focused on avoiding problems with the law.

6.5.12 Corporate Social Behaviour (CSB) Factor

The last factor of the EFA was related to Corporate Social Behaviour (CSB) expected in the social dimension. This factor consists of four (4) items measuring: contractual compliance (F.1.44, 0.794), taxes paid by the company (F.1.32, 0.794), salary/wage equality between genders (F.1.14, 0.748), and the transparency of processes to contract services (F.1.43, 0.716).

Altogether, these items represented concerns and perceptions about behaviours expected from port organisations when dealing with CSP management, in terms of both compulsory and voluntary actions. For example, the indicator related to

contractual compliance could be considered from a more legalistic perspective, but in reality, the indicator might be more related to the intention of ports to adopt fair and sustainable practices towards their suppliers so as to avoid threats to their operational performance. The idea of adopting such an approach towards contractual compliance was characterised by Beleya et al. (2020) as a manner for sustaining a port's development. Although the adoption of contractual compliance is still seminal, the inclusion of this indicator in this factor can represent the concern of managers with aspects that go beyond legal issues (Beleya et al., 2020). While legal actions can take longer to be solved, unfair contractual relationship management that is never sold can ruin third-party plans and also put at risk the operational continuity of the port. Therefore, the adoption of indicators focused on contractual compliance suggests collaborative and transparent behaviour to sustain the port competitive advantage (Ashrafi et al., 2020).

The payment of taxes is something legally required and directly linked to the contribution of the port to the social improvement of the region. Indeed, Muller and Kolk (2012) argue that it is impossible to avoid taxes payment and advertise the positive performance in the social dimension simultaneously, and Preuss and Lenssen (2010) suggested that control related to tax payment should be adopted proactively Considering the complexity of tax regulation in Brazil, incorporating controls in this dimension of management becomes necessary. Moreover, scholars such as Mamede de. Andrade et al. (2020) have shown how unethical strategies sometimes adopted to manage taxes can harm the CSR strategy of organisations and negatively impact society.

The equal treatment of employees, ensuring that salaries and work-rights are equally applied without any discrimination reflects a facet that has been requested more from organisations in general. So far, this is the only indicator adoption arising based on voluntary behaviour. This can be a reflection of the benefits created by more diversity to the positive performance of organisations in the (for similar example see: Boulouta, (2012) or a response to the low level of diversity perceived in port industry (Jeevan et al., 2020). Although not conclusive, the incorporation of indicators might represent ports awareness about how diversity can help their differentiation in the market (Herring, 2009).

This finalises the analysis of quantitative data gathered from Phase 2 of the study, but the results presented in this chapter are triangulated with qualitative findings from Phase 1 of the study in Chapter 7.

6.6 Summary

This chapter used both descriptive statistics and EFA to analyse data collected in the quantitative Phase 2 of this study. The measures of central tendency (mean, mode and standard deviation) were used to evaluate the agreement of participants with items derived from the qualitative analysis of interviews in Phase 1 of the study. Subsequently, EFA was performed in the statistical analysis to reveal essential factors of indicators incorporated for evaluating CSP in ports.

Overall, the descriptive statistics analysis has provided rich data related to CSP incorporation and adoption and how the social roles of these businesses are perceived in their local context. The analysis focused on the representation of processes to manage stakeholders and social impacts, confirming specific views

about the level of agreement from data acquired during the qualitative Phase 1 of the study.

The EFA revealed latent aspects explaining the areas where more importance is given when considering the incorporation of indicators for evaluating CSP. All six (6) factors represent essential aspects of being considered in business management: environmental management, suppliers' management, community management, human-rights management, compliance management and corporate social behaviour. The results, although not conclusive in terms of reflecting the reality of the ports management can be used together with the qualitative data to draw conclusions about CSP incorporation in ports management.

In the next chapter, analysis results from the qualitative and quantitative phases of this study are integrated through a triangulation process to answer the research questions. Focus shifts again to the conceptual framework and Wood's (1991) model, which serves as the reference for explaining social responsibilities, processes, and outcomes linked to CSP management in ports.

Chapter 7: Triangulation of Results and Discussion

7.1 Introduction

In Chapters 5 and 6, the results of the data collection from Phase 1 and Phase 2 of the study were analysed separately, as part of the mixed-method strategy described in Chapter 4 (i.e., the sequential use of qualitative and quantitative methods). Chapters 5 and 6 also focused on explaining the methods employed to collect and analyse data in each phase of the study. In Chapter 7, the two sets of results emerging from the interviews in Phase 1 and the web-survey in Phase 2 are triangulated to contrast and/or connect results and conclusions in order to answer the following PRQ and SRQs:

PRQ: How is CSP incorporated in port management?

SRQ 1: How do port managers comprehend CSP?

SRQ 2: What is the social role of ports and the rationale for adopting it?

SRQ 3: How do port managers address social impacts on stakeholders?

SRQ 4: How is the CSP of ports evaluated?

The triangulated analysis uses contrasting or comparison of findings from the investigation of the RQs across both data collection phases of the study (Fielding, 2012). The connection was adopted when a subject was explored in Phase 1 but not in Phase 2. In this case, data from both phases were used to complement or support discussions, answering a specific RQ by connecting ideas from different data strains (Carter et al., 2014). Connection moves in two ways, either when qualitative data is used to discuss quantitative results, or when quantitative data is used to support

the findings of qualitative results. Moreover, the triangulation process compares empirical results from this study with results and theory from relevant literature, to set a parallel with relevant aspects discussed by other scholars.

This chapter aims to answer to the PRQ, which asks, from the perspective of port managers, how the concept of CSP is incorporated in Brazilian ports. Based on the findings of the empirical study and literature review, this discussion chapter prepares the ground for the conclusions and recommendations in Chapter 8.

7.2 Port Managers' Comprehension of CSP

The triangulation of Phase 1 and Phase 2 results linked to SRQ 1 aimed to find out: a) how port managers participating in the study understood the CSP concept; and, b) if themes derived from Phase 1 data were representative of perceptions and opinions more broadly across the study's sample population, as expressed in web-survey results. An observation made during the first Phase 1 interviews was that the participants had some difficulty defining CSP using their own words. This difficulty was detected in the first four (4) interviews, and actions were taken to ameliorate it from the fifth interview onwards. This was done through the provision of more contextual information concerning the management of performance in business as a general topic, thus helping participants to explain their understandings of CSP in the port sector. This apparent difficulty shown in trying to explain CSP is suggestive of the challenge more broadly for port management because a lack of comprehension can be one of the first barriers to CSP incorporation in ports. If managers do not know how to explain CSP, or they struggle to explain it with their own words, effective incorporation and implementation may be impaired or even impossible. Wood (2010) suggested that the lack of knowledge about fundamental

aspects of CSP, as those proposed by Wood (1991), have direct and adverse effects on the development of the social dimension of organisations. The statement made by survey participant P_25 may help explain why CSP is still hard for some port managers to define:

> CSP is important, but unfortunately, we (managers) are not capable of giving it the necessary value, of supporting it and of ensuring the execution of a good job in the social dimension.

The literature shows that defining social performance in the context of different businesses has been a challenge historically (Bititci et al., 2012, Solomon et al., 2008), while at the same time showing that a sound conceptual understanding of CSP is vital to its development inside organisations (Wood 2010). If managers have difficulty explaining CSP, and also do not invest the time necessary for developing their understandings of CSP in the context of their business, then these managers are likely to struggle with CSP incorporation in their organisations. The other existing option is that managers may incorporate CSP as part of their businesses, but the lack of knowledge prevents them do incorporate CSP management as a systematic process inside their organisations.

By comparing and contrasting results from the two data collection phases (Saunders et al., 2009), it is possible to identify which aspects of CSP management in ports were favourably perceived by managers (Table 7.1). The favourability was defined for this study as being when results from the Phase 2 web-survey yielded a mean above the 'agree' score (i.e., 4.00). Once calculated, these items of agreement scores were used in the triangulated data discussion. For SRQ 1, five out of the six themes yielded "agree" scores or above, with only B.3 falling below 4.00 ($\overline{x}$ = 3.95). The

following subsections discuss the outcomes of the triangulated analysis for the themes with results above 4.00: social development, interaction with the external environment, voluntary social responsibilities, social impacts management, and social performance indicators.

Table 7-1 The meaning of CSP in ports

Interviews		Web Survey		
Theme	**Number of quotes**	**Question**	**Mean**	**Rank**
Social development	9	B.2 - The way we participate in the region's social development.	4.50	1st
Interaction with the external environment	9	B.1 – The way we interact with the external environment around us.	4.43	2nd
Social performance indicators	7	B.4 - The way we manage the indicators necessary to demonstrate how we perform in the social dimension.	4.05	5th
Social impacts management	4	B.5 - The way we create and manage processes related to the social dimension.	4.09	4th
Compliance	2	B.3 - The way we comply with the regulations that the company needs to follow.	3.95	6th
Voluntary social responsibilities*	N/A	B.6 - The way we comply with the social responsibilities voluntarily adopted by the organisation.	4.38	3rd

*Added as a survey question based on Wood's (1991) definition of CSP.

7.2.1 Social Development

The results of triangulation (Table 7.1) suggest a predominance of the social development view over other aspects of CSP. Social development, in this case, accords with the view presented by Wood (1991) of the social outcomes produced by organisations – referred to by Wood (2010) as the visible part of CSP. Although sometimes the social development theme was referred to obliquely, in a general manner, participants also provided more specific views about its meaning when referring to terms such as social investments, social projects, and the social legacy of ports within society. Therefore, the social development theme linked managers'

perceptions of social development to how their organisations were able to contribute to the creation of social benefits for stakeholders. Filgueira and Filgueira (2001) argue that often social development is understood in terms of financial investments and improvements in the economic dimension. The creation of social benefits based on economic development tends to be more accepted because there is a perception that the amount invested and the outcomes created can be quantified, leading to the impression that is possible to evaluate CSP with these metrics. During the interview in Phase 1 of this study, the link between social development and economic development was made clear by Tint_04:

> the port is a means of social and economic transformation in the country, it is the vector to the development of the whole region and, as such, important to the social development of the municipality, the state and the country.

For the managers of Brazilian ports participating in this study, the link between social performance and economic development was quite evident (for example, when participants were asked about the social roles of ports in SRQ 2). From the web-survey results, the theme with the highest arithmetic means score ($\overline{x}$) was participation in the social development of the region, followed by the improvement of regional economic status. Therefore, from the data obtained, it seems that the economic perspective prevailed in participants' expressed opinions about what social development means in the Brazilian port sector. In the literature, this conceptualisation of socio-economic development is embedded in discussions about ports transforming their economic success into benefits for stakeholders (for examples see Dooms et al. 2015; Dooms et al. 2019a; Santos et al. 2017; Sakalayen et al. 2016; Terenteva et al. 2016).

Although the economic view of social development is easy to understand, Wood (1991) contends that a broader definition of social development is necessary, especially when considering the perspectives of stakeholders affected by organisations. The need to expand the view of social development is important because stakeholders might not always be interested in economic development, and in such cases, the meaning ascribed to the social development needs more attention. For example, during the Phase 1 interviews, Tint_25 referred to social development as 'something that the company can return to society in terms of overall well-being'. Scholars such as Castellano et al. (2020) expressed their important view about how ports' social roles, including the economic development perspective, need to focus on port efficiency comprehensively. A similar view is expressed by Cong et al. (2020) and Kotowska et al. (2020), who claim that if the economic perspective is not employed to support other essential roles (e.g., social developer), overall stakeholders will tend to do not perceive social benefits linked to their wellbeing. From Vanclay et al.'s (2015) definition of social impacts, issues involving stakeholders' well-being can include a broad range of aspects, including disturbances in the social bonds of a community or in the way people live their lives, but disturbances which are not necessarily related to economic development. Therefore, it might not be possible to address social impacts by relying solely on economic investments in the social dimension.

The interviewee, Tint_21, provided an example of how the link between economic and social development can be tenuous, or even erroneous. While reporting his experiences in port operations, Tint_21 mentioned that during the public hearings process for a port project implementation, community stakeholders who were asked

what benefits they were expecting from the port responded that ‘they did not want anything (material) from the port. The only thing they expected was not to have any change in the lifestyle of their community’. Vanclay (2012), while discussing the procedures to assess social impacts in coastal areas, suggested to port representatives not to ignore or label these groups as opposition as many of them might have good reasons and power to impede the development of the enterprise. Instead, leaders dealing with these groups should be open to hear the different points of view and identify negotiable items that can lead to a scenario where both the port and the community feel involved in a win-win relationship (Vanclay, 2012). Andrade and Costa (2020), in the discussion about the impact of touristic activities in European port-cities, emphasised how caution is necessary in scenarios where some stakeholders (e.g., tourists) perceive as positive the economic activity in the region while others (e.g., local community) tend to prone to the negative view as their wellbeing is affected.

Social development representing more the managers’ perspective about CSP with emphasis on the socio-economic development confirms a view that already existed in the literature (For examples please refer to Kotowska et al. (2020) and Van den Berghe and Daamen (2020)). However, as discussed by Notteboom et al. (2020), using the European North Sea ports as references, it is necessary to expand this understanding to achieve sustainability objectives by preparing organisations and managing the culture change towards other dimensions such as the social one. Looking beyond the economic perspective to achieve social development is necessary because social development might not necessarily relate to economic development (For similar examples in the extractive sector, please refer to Harvey

and Bice (2014)). Therefore, managers' limited view offers an opportunity to expand the definition of social development in ports by including aspects linked to different stakeholders' overall well-being. This expanded view can help, for example, when an organisation does not perform well economically, and investments become scarce for budgetary-dependent actions in the social dimension (Martin-Soberon et al., 2014, Van Niekerk, 2005). When this happens, it may be necessary to develop other strategies that focus more on relationship development instead of playing economic supporters' role.

Moreover, understandings of CSP tied to economic development might present other risks to organisations. The replacement of the idea that the port is an economic provider is essential for avoiding other issues linked to relationships with stakeholders. Billo (2015) coined the term ‘patronage mentality’ to refer to situations where stakeholders accept as a given that port organisations are the main entities to attend their claims, most of the time demanding investments in infrastructure instead of directing requests to the public entities which, in reality, should be responsible for development in the region. Tint_01 and Tint_11 expressed this concern during their interviews when giving examples where port investment in public infrastructure (e.g., schools and hospitals) led to the port involuntarily replacing the public power in stakeholders’ minds. This can lead to problems when the port has a short budget and stakeholders may feel neglected or think they do not enjoy ‘social development’ because the port was not able to deliver something they expected. As a consequence, stakeholders can end up turning against the organisation, blaming it for undesired outcomes, labelling the port as selfish or profit-oriented, and possibly impeding operational continuity or

expansion projects. To avoid these traps, CSP and social development must be interpreted more broadly, beyond the socio-economic view, to include more comprehensive and inclusive assessment of potential and actual social impacts for stakeholders (Vanclay et al., 2015). Relatively simple actions, such as having representatives of the organisation engaged in significant cultural celebrations or promoting more visit events in the port, can further the aims of social development without the need for any capital investment at all. This view of broader participation of port representatives in the community life was presented by Verhoeven (2010) while discussing the new challenges of port authorities and still, it is a point that needs attention in the Brazilian context. If stakeholders feel that the organisation supports something important to them, stakeholders may *ipso facto* feel that the port is interested in the overall social development in their region.

7.2.2 Interaction With the External Environment

The second theme with the highest mean ($\overline{x}$) score representing CSP was related to ports' interaction with their external environment.

After social development, the theme of the interaction of ports with their external environment attracted the next highest favourability level, yielding a mean of $\bar{x}$ = 4.43. In the Phase 1 interviews, participants frequently referred to this interaction with the external environment in connection with terms such as peer companies, society, stakeholders, community, and relationship. For respondents to the web-survey in Phase 2 of the study, positive CSP was clearly linked to having positive interactions with stakeholders in the external environment. The relationship with stakeholders view suggests that the idea of business management having the sole aim of generating profit (for examples see Friedman (1962), McGuire (1977) and

Davis (1973)) may not accurately reflect the mindset of Brazilian port managers in 2020. On the contrary, the relationship with stakeholders' view suggests that organisations do consider their participation in what happens beyond the port walls, to the extent that external environment considerations may be incorporated into their business strategy development. While some scholars question the relative importance of the external view to the development of effective business strategies for ports (Dooms, 2019, Aerts et al., 2015, Cheon, 2017), others argue emphatically for the diversification of stakeholder groups, to enrich discussions about the 'performance' of a port from an external perspective, thus enhancing strategy development and improving outcomes (Lozano et al., 2020, Geerts and Dooms, 2020, Ashrafi et al., 2020, Lam and Yap, 2019, Notteboom and Winkelmans, 2003).

The literature on CSP also presents a relational view of interactions with the external environment. The definition of CSR2 in Wood's (1991) CSP model takes the understanding of social environments and stakeholder groups as essential for the development of effective responsiveness processes in the social dimension. However, some precautions are necessary for the development of positive relationships between organisations and stakeholders. A systematic and ongoing process for assessing the external environment is required because changes in the social environment and the salience of stakeholders change over time (Erdiaw-Kwasie et al., 2017). Thus, considering CSP in terms of interactions with an external environment, good CSP assessments will be contingent on management's knowledge of what is happening around the port and on positive interactions with other stakeholders in the social environment (Skilton and Purdy, 2016).

Although results from this study suggest an increased focus by Brazilian port managers on their companies' interactions with the external environment, this does not necessarily imply that stakeholders from the internal environment, such as employees, are being neglected. Data obtained for this study during the Phase 1 interviews may suggest that, while perhaps to a lesser degree, port managers in Brazil do understand the importance of their organisation's internal environment. For example, two interview participants (Tint_03 and Tint_07) referred to the need for a focus on interactions with internal stakeholders in the context of CSP management. The importance of the internal view was reinforced by Tint_10's statement that:

> Employees are the primary vehicle that the port uses for propagating the positive social aspects produced internally, as most of the time the stakeholders located outside do not have a clear idea about the number of positive things that happen within the port.

Similarly, some of the web-survey respondents from Phase 2 of the study provided qualitative comments that considered the internal view. For example, P_67 commented that:

> I would add that CSP represents how we interact with the internal environment of the organisation. Companies are made of people that represent the local social context where organisations are inserted.

Similarly, P_18 commented that:

> It is imperative to look at CSP inside and outside the organisation. There is no value in discussing CSP looking at the external environment without first analysing the internal environment.

The comments above show that, although these managers may often conceptualise CSP in terms of the external environment, references to interactions with the internal environment also appear in other moments of both Phase 1 and Phase 2 data collection process. This is a positive finding that complements the understanding of stakeholder management because including internal stakeholders in the CSP management of ports promotes broader comprehension of the CSP of the sector as a whole (Wood, 2010). Fobbe and Hilletofth (2021) have shown that to a certain degree, port organisations around the world started already considering the value of different stakeholders groups participation in the company life, especially when the focus turns to corporate sustainability objectives. As the level of importance given to different stakeholder groups varies over time, and because organisations' resources are limited, having an inclusive view of both the internal and external environment may help ports to think more strategically, aligning their CSP with their sustainability objectives.

7.2.3 Voluntary Social Responsibility Definition

Although voluntary social responsibilities were not an explicit part of the interview outcomes, it was surveyed in the quantitative phase to complement the lack of items related to CSR1 in the definition of CSP provided by Wood (1991). Interestingly, the web-survey results revealed that this item had the third-highest mean score ($\overline{x}$) representing the view of CSP. According to Wood's (1991) CSP definition, social responsibilities defined by the organisation are the basis of the development of processes and outcomes in the social dimension. In Wood's (1991) view, if the organisation is not capable of defining its core voluntary commitments in the social dimension, there is a risk that the development of social processes and outcomes

can become susceptible to regulatory aspects that vary over time and according to social context (Waldman et al., 2006, Reed et al., 2018, Voyer et al., 2015, Ho et al., 2011). The results of the web-survey suggest that managers in ports do understand the importance of voluntary social responsibilities as a representation of CSP. Different perspectives drawn from the literature may explain why compliance with voluntary social responsibilities had one of the highest $\bar{x}$ scores in this study.

Vanelslander (2016) suggested that ports innovate while thinking about the definition of social responsibilities, to ensure they can achieve long-term strategic objectives. For example, by defining their voluntary social responsibilities and aligning them with different stakeholder groups' expectations, ports can create more transparent relationships with stakeholders while also discovering what is of interest to these groups in the development of CSP management (Dooms 2019). In other words, ports can become more innovative about what they produce in the social dimension if they better understand what their stakeholders need in terms of support from the organisation. Based on the knowledge gleaned from stakeholders, managers could then develop a definition of voluntary CSR1 that serves the purposes of both the organisation and community.

Voluntary CSR1 on the third-highest position in the web survey has a positive aspect, placing voluntary adoption of social responsibilities ahead of aspects such as compliance which ranked sixth. If adopted, the development of voluntary social responsibilities can help ports become less dependent on regulators' decisions (Ha et al., 2017) while also creating and increasing positive perceptions about the organisation by stakeholders (Wagner et al., 2009).

7.2.4 Social Impacts Management

Participants in the web-survey agreed that social impacts management is a representation of CSP in ports. Having social impacts management as the primary representation of CSP would suggest that those representing organisations in ports understand the link between their performance in the social dimension and the impacts that their decisions have on the stakeholders around them. In the literature, scholars have referred to the social impacts of ports differently, ranging from environmental impacts in protected areas (Dunning, 2021) to more social-related benefits created by the port activity in the region of influence (Zhao et al., 2021). Overall, this research has shown how more engaged and participative stakeholders have been to ensure that ports consider impacts created in their environment. In a similar and comprehensive view, for Tint_03, the management of CSP should be concerned with all sorts of activities that, in general, create positive or negative impacts for stakeholders. Tint_15 linked a preventative approach to social impacts management, specifically to the use of a risk assessment process, invoking the idea that good social impacts management represents good performance in the social dimension.

Duru et al. (2020) argued that including social impacts in overall performance analyses can improve the way ports approach sustainability performance as a whole. Mottee et al. (2020) emphasised that performance analyses should go beyond the economic and environmental views to consider how stakeholders' lives may be affected by infrastructure projects such as ports. Andrade and Costa (2020) have analysed the social impacts of ports on stakeholders by investigating how touristic activities related to ports affected the livelihood of their local regions. Although

Andrade and Costa (2020) study took a specific tourism perspective, the fact that it assesses the social impacts created by ports helps to improve understandings about the impacts created by port organisations in the social dimension. A broader understanding about the social impacts of ports also provides more clarity about what can be developed concerning sustainability performance assessment (Nogué-Algueró, 2020, Jouili, 2019, Prumm and Iglesias, 2016, Bottasso et al., 2013). Overall, besides promoting good performance in the social dimension, the inclusion of social impacts representing CSP in ports is important because it links management practices with aspects affecting stakeholders' lives.

7.2.5 Social Performance Indicators

The last theme in the web-survey rated favourably as a representation of CSP in ports was social performance indicators. This theme, invoked by seven (7) interview participants, reveals a link between performance and indicators management. However, as noted by Tint_16, defining these indicators is currently the biggest challenge for the port sector. Paradoxically, although clear definitions of social indicators are considered necessary, the limitation of efforts or skills to identify indicators in the social dimension is still a barrier to the incorporation of CSP in ports. Lim et al. (2019) showed that research about corporate performance in the social dimension is still behind when compared with research on the economic and environmental dimensions. Other scholars reinforced the view that social performance indicators are challenging to define, and admit that, despite some improvements, there is still a long way to go before achieving a balanced approach to performance assessment and the evaluation of port sustainability (Beske-Janssen et al., 2015, Langenus and Dooms, 2015). The real challenge may,

in fact, reside not in the definition of social performance indicators but, rather, in defining what matters to the management of the social dimension in ports. Considerable efforts have been made by scholars such as Stanković et al. (2021), but the practical use of indicators beyond the analysis of overall indexes (i.e., GDP) needs to be promoted in different portals contexts.

In summary, both qualitative and quantitative results from this study suggest that managers in Brazilian ports may indeed understand CSP inclusively and comprehensively, but further research is required to investigate how such understandings may manifest in the actual adoption and implementation of CSP policies and practices within ports. Results may also suggest that managers working in Brazilian ports do consider voluntary social responsibilities when thinking about their CSP management, which is suggestive of concern and motivation that goes beyond the compulsory or imposed. The representation of CSP based on social impacts and social indicators is positive, but raises the question about how, in actual workplace settings, do port managers develop processes and metrics to manage their organisations' CSP? Finally, the view of social development with an economic appeal, although not new, needs to be expanded to encompass the broader meanings of social impacts and stakeholder management that many port managers may already have.

The next section discusses data gathered about participants' conceptualisations of the social roles of port organisations, providing insights into the possible influence of perceptions and understandings over the actual development of processes and indicators for CSP management in ports.

7.3 Social Roles of Ports

This section answers the SRQ 2 by triangulating the analysis of results from both phases of this study. In addition to the analysis results presented in Table 7-2, relevant comments obtained from interviews and the web-survey were used for further examination of participants' thinking about the social roles of ports. This triangulation of analyses reveals that three (3) major social roles prevail in the perspectives of the port managers who participated in this study: participation in regional social development (C1.1), improvement of the regional economy (C1.3), and the maximisation of operational capabilities for better social development (C1.5). All three of these social roles achieved agreement mean scores above $\overline{x}$ = 4.00 and were therefore considered the best representations of how participants in this study understand the social roles of ports. Examined in combination, these results suggest that the economic perspective may still dominate the conceptualisation, incorporation and implementation of CSP management in Brazilian ports.

Although results in this study suggest a narrow view of the social roles of ports may persist, the perspectives revealed concerning regional development (C.1.1) indicate that, at least for the participants in this study, port managers in Brazil are cognizant that their organisations do play a part in the social development of their region. With a pragmatic approach, limited or expanded, the views presented by participants reveal that they agreed that ports have a role to play in the social dimension. However, according to the port managers involved in this study, concerns about the possible implications of adopting social roles must be taken seriously. Based on the views presented by the participants, fears about potential exposure of the

organisation to criticism and a desire to avoid the financial dependency of stakeholders could significantly impede the development of more effective and sustainable CSP management in ports in Brazil but also around the world.

The following subsection examines in more detail this study's conclusions about the perceived three major social roles of a port which emerged from the web-survey data analyses. There is also a discussion of what participants perceived as the appropriate reasons for adopting social roles, and their views about the possible advantages and disadvantages of doing so.

Table 7-2 The social roles perceived in ports

Interviews		Web Survey		
Theme	**Number of quotes**	**Question**	**Mean**	**Rank**
Develop the regional social environment	9	C.1.1 - To promote the social development of the region where we operate.	4.58	1st
Adapt ports' processes to achieve social objectives	8	C1.2 - To adapt its processes aiming to achieve objectives defined in the social dimension.	3.75	4th
Improve the economic status of the region	4	C1.3 - To improve the economic status of the region where we operate.	4.29	2nd
Act as a leader in the social dimension	3	C1.4 - To lead the social development of the region(s) where we operate.	3.49	5th
Maximise the port economic capabilities to provide social betterment	3	C1.5 - To maximise its operational capabilities, using this to promote social improvement.	4.20	3rd

7.3.1 Social Development Role

The theme of social development achieved the highest $\bar{x}$ score during the analysis of Phase 2 web-survey data, and is therefore considered to have the highest level of agreement from participants in this study (C.1.1). This result accords with the extensive literature concerning the importance of ports in regional development,

and with research linking the presence of port infrastructures to the wealth and status of cities around the world (Cong et al., 2020, Terenteva et al., 2016, Sakalayen, 2014, Wang and Ducruet, 2012, Burskyte et al., 2011). During the Phase 1 interviews for this study, references made by participants to ports being able to leverage social development and being a vector for social development, align with previous studies examined in the literature review for this study (Terenteva et al., 2016).

However, this study is unable to precisely interpret participants' meaning when responding to questions about the social roles of ports due to a lack of more specific data about their conceptualisations of social development. There is need for more research and data about the how port managers think about social development because, if managers can define social roles with more precision, they should also be able to improve the assessment, evaluation and management of their organisations' CSP. As discussed previously in section 7.2.4, the definition of specific social-oriented actions is important when considering the social participation of ports in social development.

Notteboom et al. (2020) showed how port initiatives can sometimes promote a change of mindset towards sustainability management in the cities around them. If the overall development of regions around the port is one of the aspects expected to represent social development, it is important to define what actions and metrics can help managers to track their performance in the social dimension, and this might not be related only to economic development *per se*. Similarly, Vanelslander (2016) argued that innovation could become an essential part of developing the social roles of ports. If the social development role is linked to innovation in port management,

perhaps managers can feel more comfortable about acting in the social dimension and developing innovative approaches which may ultimately lead to better outcomes and better social environments for stakeholders and ports alike. Nebot Gómez de Salazar and Rosa-Jiménez (2020) and Gómez (2015) showed how integration between ports and society could support a 'win-win relationship' which is beneficial for all parties and which represents the social development created by sustainable operations.

While participants in this study understood their role as social developers, they had some difficulty explaining this role beyond the economic perspective. This discrepancy needs further investigation, to determine if the results of this exploratory study are more generalisable because sometimes the economic perspective will not be able to support a positive CSP for ports (as discussed earlier in section 7.2.1). For example, when a port is not able to employ a large number of people due to its operational characteristics (Marner and Klumpp, 2020, Martin-Soberon et al., 2014) or when the port serves only as a hub for transhipment without adding other economic activities to the region (Terenteva et al., 2016, Vanclay et al., 2015), is it fair to say that the organisation has a negative CSP? Or are there other actions related to the social development promotion that goes beyond the employment and improvement of the economic activities of the region? The rhetoric questions need to be incorporated in managers' thinking about CSP because, in other cases, the economic development that is produced may in fact be perceived as inadequate compensation for the disturbances to stakeholders' lives. Sometimes, no matter how many resources are invested in promoting something that port managers perceive as beneficial for stakeholders when accurately assessed to

include stakeholder perspectives, the CSP of the port may actually be rated negatively. In the case of the Brazilian ports represented in this study, an expansion of the way social development is understood by management in these organisations could help them better capitalise on the social roles they play locally, regionally, nationally and internationally.

7.3.2 Improvement of the Economic Status of the Region

The second theme (C.1.3), achieving the agreement level as a representation of the social roles of ports was the one related to the economic development of the region. The economic development role becomes more evident when considering ports as a business which contributes to the economic activity of a region or country. European and Asian ports can serve as examples of how the economic power of these assets, aligned with broader strategic development, can be leveraged to produce positive outcomes in the social dimension (Van den Berghe and Daamen, 2020, Kotowska et al., 2020, Cong et al., 2020, Castellano et al., 2020).

Attention is necessary, however, when the socio-economic role of a port and the social development strategy of the local region, from a public policy-making perspective, are not aligned. If this occurs, the chances are that only one party of the relationship will enjoy the benefits created by the port existence. From the empirical results, the concern about the alignment between the port and regional development seems to be one important aspect considered by port managers who participated in this study. As stated by different interviewees, concerns exist that the port becomes the only economic reference for the solution of overall problems or they need to invest in infrastructure (e.g., roads and security) which was supposed to be supplied by the public power. In the literature, Zhao et al. (2021) have shown

how the port influences different economic activities in their region, fostering regional development and decreasing stakeholders' dependence only on the port activities. Therefore, further research may be able to determine if the alignment between ports and regional development exists in specific cases such as the one presented in the Brazilian context. Moreover, results from this study can be used to analyse how stakeholders perceive the alignment of the social development strategy and the regional development strategy developed by policymakers. It can be verified, for example, if there are cases where stakeholders perceive that only the port is benefited from the exploitation of the regional natural resources with a little in terms of benefits being shared with society. In this sense, it is necessary to ensure that social roles linked to economic activity improvement are developed with the needs of stakeholders in mind, and Cheon (2017) warned that the misalignment of expectations or the unbalance between benefits creation can become a source of tension between stakeholders and port management. Overall, although important, improvement of economic status must be seen in the context of broader and more long-term considerations of social development and how benefits created in the economic dimension might be used to improve social outcomes as well.

With a more pragmatic approach related to economic development, Dooms et al. (2019) referred to the analysis of employment and infrastructure budget allocation to determine if economic growth translates into social improvement. However, Dooms et al. (2019a) recognised that the analysis is not simple and that there is a need to have an expanded approach to the assessment process, including indicators that can measure how employment and investment in infrastructure benefit stakeholders. In this case, Dooms et al. (2019a) presented as a *sine qua non*

condition the consideration of stakeholder perceptions about the social benefits that may or may not be flowing from the economic dimension.

7.3.3 Maximisation of Ports Capabilities

The third theme (C.1.5) representing the social role of the ports was the maximisation of operational capabilities as a vector for social development in the region, which is a link that has already been identified in previous studies (Rodrigue et al., 2013). However, attention must be paid to which stakeholders are benefited, and in what ways because as discussed in section 7.3.2, the benefits can be unevenly distributed.

Historically, employment has been one of the leading social development benefits created through the maximisation of ports' capabilities, but in more recent times the increasing use of automation has reduced the number of employees required to maintain operations (Martin-Soberon et al., 2014). Sometimes the level of employment created locally can be low due to the high level of specialisation within the port. One participant during the Phase 1 interviews said that due to the high level of specialisation and the level of automation adopted by his organisation, he was not able to employ people from the surrounding communities due to the lack of an available skilled workforce (Tint_25). This led Tint_25 to conclude that his organisation could not do too much in terms of CSP management based on the ports automated operational characteristics. Although scholars such as Acciaro et al. (2020) have presented the competitive advantages of automation use in the port logistical process, it is undeniable the impact that technology causes to the employment in the sector. One can see, therefore, that while there is a link between the maximisation of the operating capacity and social development, that

maximisation may not be part of the social role of the port, *per se*, unless it fostered social development in areas other than employment.

Moreover, the role ports play in the international and regional supply chain has also changed over time, and capacity maximisation often does not benefit local stakeholders. In the past, ports have been critical to the creation and promotion of activities in the supply chain, but there is an increasing tendency for some ports to serve only as a connection point of transhipment (Jouili, 2019). These assets may operate to maximum capacity yet fail to produce social benefits for local stakeholders because most of the added value activities of a port are moved to other locations (Zhao et al., 2021). Therefore, if maximising port capabilities does not result in shared wealth with local stakeholders, it is likely that only the port organisations will perceive any benefit.

Lam and Yap (2019) suggested that managers should listen to stakeholders' concerns and expectations in order to understand better the roles they can play in the social dimension and thereby achieve more positive outcomes. Employment can stay low, yet the port could help with other aspects of interest to the community, such as supporting cultural events or promoting corporate campaigns focusing on the well-being of stakeholders. However, this level of participation could only be achieved in the Brazilian context if managerial skills for those occupying decision-making positions improve and a more holistic view is adopted (Constante et al., 2018). The need to ensure that benefits are shared between organisations and stakeholders is, therefore, the reason why Wood (2010) referred to stakeholders as the key party capable of reporting a more genuine and useful CSP assessment of the organisation. Maximising operating capacity, then, must also maximise

stakeholders' satisfaction with the corporate relationship if the port hopes to report a positive CSP and this inevitably goes through the view that port representatives have about what is their social role in a corporate context. When the organisation considers the views of stakeholders, the idea of maximising capabilities starts to involve the evaluation of performance from a sustainability perspective and consequently helps to improve CSP incorporation in ports (Galvao et al., 2016).

The socio-economic role of ports can hardly be overstated, in fact, as they are structurally embedded within the fabric of 21st Century life, from the local and regional to the national and international. Therefore, it is not surprising, perhaps, that the port managers who participated in this study tended to take an economically focussed perspective on CSP. However, while this may be a somewhat limited view, it is not an inherently selfish one and might be built upon and expanded to facilitate better CSP management in ports, and better social outcomes for all stakeholders. If a better definition of what the port can contribute in addition to supporting economic growth, new more socially oriented roles may then become possible within CSP management. Furthermore, although changing the corporate culture of ports presents significant challenges, the process can be facilitated by expanding and enriching the way the social roles of ports are conceptualised. Participants in the interviews have stated clearly that there is a need to improve the understanding of CSP in ports and the input from stakeholders can help improve corporate understandings of what matters in the social dimension. Finally, a better understanding of the participation of the port in the social dimension can help port organisations reach broader objectives by going beyond a simple economic perspective.

7.3.4 Preparing the Port to Perform in the Social Dimension

Interestingly, although managers' views about the social roles of ports were oriented to the economic perspective, managers in the Phase 1 interviews of this study also expressed recognition of a need to prepare their organisations to perform better in the social dimension. When interviewees were asked to describe the social responsibilities of ports in the context of their social roles, nineteen (19) out of the twenty-eight (28) participants said it was the responsibility of the port to improve CSP management practices. The acknowledgement by interviewees that there is such room for improvement is an important and positive aspect to be extracted from the data collected during the study. Moon and Parc (2019) argued that a change of the corporate mindset can improve overall performance as the organisation acquires a better understanding of what different stakeholders expect and this can be aligned with the organisations' objectives. Constante et al. (2018), in a discussion focused on the Brazilian context, made explicit the need to improve the management profile and consequently approach towards the use of port assets in favour of overall development. In this sense, a better preparation to act in the social dimension also creates the opportunity to plan with more clarity the use of resources in the social dimension.

At a more tactical level, the preparation of the organisation may also provide the chance to establish processes and indicators that facilitate a better assessment of CSP (Sierra-Garcia et al., 2015). The existence of a belief that CSP needs development inside ports can be used as a basis for developing more holistic social participation models, helping to define in practice the necessary actions for aligning corporate objectives with social expectations (Dooms, 2019, Le et al., 2014,

Wartick and Mahon, 2009, Notteboom and Winkelmans, 2003). As P_66 commented during the web-survey, 'there is still a lot to be developed about the social roles of ports'.

7.3.5 Reasons for Adopting Social Roles in Ports

The Phase 1 interviews and the Phase 2 web-survey investigated managers' perceptions of the reasons leading ports to adopt a social role, which yielded a list of five (5) motivations (see Table 7-3) that achieved the agreement scores above $\bar{x} \geq 4.00$, representing why ports should engage in CSP management: compliance, strategic development of business, obtaining stakeholders' support, social accountability, and problems escalation prevention.

Table 7-3 Reasons for adopting social roles in ports

Interviews		Web Survey		
Theme	**Number of quotes**	**Question**	**Mean**	**Rank**
Social accountability	22	C.2.1 Fulfilment of the social responsibilities voluntarily defined by the organisation	4.08	4th
Stakeholders' support	6	C.2.3 To obtain support from stakeholders	4.17	3rd
Strategic development	5	C.2.5 The development of business' strategies	4.29	2nd
Prevention of problems escalation	4	C.2.2 Prevention of problems escalation	4.03	5th
Compliance with laws and regulations	2	C.2.4 Compliance with laws and regulations	4.57	1st
Return for the exploitation of resources	2	C2.6 Retribution for the exploitation of natural resources	3.71	6th

In Phase 2, web-survey conducted for this study, compliance with laws and regulations (C.2.4) was scored as the most relevant reason for the adoption of social roles by ports. Interestingly, during the Phase 1 interviews, only two participants

referred to C.2.4 as something moving ports towards the adoption of social roles. The reasons for this discrepancy are not clear, but triangulated results suggest that compliance may play a decisive role in the adoption and recognition of social roles, with more research suggested to investigate this exploratory study's findings. In the literature, scholars such as Vieira et al. (2015) have found that port authorities in Brazil tend to rely considerably on guidelines provided by regulations to perform their tasks. The view offered by Constante et al. (2018) about the impact of the lack of skills related to the particularities of the port sector might help understanding why compliance appears as a top ranked item in the quantitative analysis. Acting in the social dimension, according to the port managers who participated in this study, is still very much dependent on the guidelines provided by external public entities. Survey participant P_05 reinforced this view, commenting that:

> It is important to remark that the social development of a port is based on the current legislation; therefore, it is not a voluntary action but an obligation.

One might ask, then, if the regulations were not in place, would ports still think of adopting or accepting their social roles and responsibilities? Would they be concerned about the social dimension of the business if this were not imposed as a compliance requirement? Although it is not possible to answer these questions here, the second important influence on business strategy identified in this study may help shed some light on what motivates the adoption of social roles by ports.

The prominence of strategic development (C.2.5) as a theme emerging from the data suggests that the managers in this study perceived the adoption of social roles as something important related to the expansion of their businesses' capabilities. In the literature, van der Lugt et al. (2017) have shown how this strategic view has

influenced port authorities' managerial mindset, often making them more aware of different performance approaches such as those linked to CSP. As Tint_10 said, ‘the strategic development view about the adoption of social roles is necessary, for example, when the organisation is seeking approval for expansions or new developments of their operational portfolio’. Moreover, the strategic motivation from ports to adopt a social role was also linked to the intention of achieving sustainability goals. The adoption of CSP management better prepares organisations to operate in a world increasingly focused on sustainability objectives, where stakeholders and public entities are increasingly concerned with aspects that go beyond the economic/operational performance of businesses (Kramer and Porter, 2006, Dentchev, 2004, Smits et al., 2020, Schrobback and Meath, 2020). The fact that participants in this study said they recognise a need to adopt and manage social roles based on strategic importance suggests that, at least in theory, representatives of the sector recognise the need to consider the social dimension when managing their business operations.

Obtaining support from stakeholders (C.2.3) was perceived as the third most important reason for ports to adopt social roles. The concept of a social licence to operate is used by scholars to represent how strategically important it is to have support from stakeholders to ensure the development and continuity of a business, avoiding a range of possible adverse effects that can arise from stakeholder opposition (Boughen et al., 2008, Gunningham et al., 2004, Demuijnck and Fasterling, 2016). There is a recognised need amongst scholars to ensure that ports take strategic and systematic actions in the social dimension, instead of making ad-hoc responses only when problems arise (Harrison and Berman, 2015), and the data

collected in this exploratory study suggests that managers in the Brazilian port sector may already be well aware that a social licence to operate from stakeholders is becoming ever more essential for operational sustainability in the 21st Century.

The strength of the strategic adoption theme (C.2.5) may be related to a belief that ports must be voluntarily accountable in the social dimension (C.2.1). As the fourth-ranked theme, the high levels of agreement with C.2.1 in the web-survey are suggestive of two points: 1) that participants in this study did not feel they were able to operate separately from the social environment in which their businesses are located; and, 2) that they believed there was a need for port management to adopt a more voluntary approach to their engagement with stakeholders in the social dimension (for a similar approach in the literature see Rendtorff (2019) and Andrews (2019)). Although the adoption of social roles forced through regulation rated highly as a motivating factor, the voluntary accountability theme scored a mean above 4.00, suggesting an acceptance that ports do not operate disconnected from the environment around them and somehow need to think about social responsibilities without the need of impositions made by laws and regulations. Wood (2010) emphasised the importance for organisations, and their respective managers, of accepting that business organisation are part of society, dependent on stakeholders for their social licence to operate, and that good CSP management is also good for the overall business sustainable results. Results from this study suggest that participants perceive social accountability as part of their business culture, and their recognition of voluntary reasons to adopt a social role may be a positive indication that, at least on an individual level, CSR1 is already well assimilated into the thinking of representatives of the sector. This might then be

used as a starting point for developing CSP management strategies more broadly at an organisational level. However, a contrasting point needs to be addressed at this stage. As Galvao and Robles (2021) explained in their qualitative analysis of the law that promoted the reform in the port sector in 2013, the private interests represented in the text might give indications about the level of incorporation of social responsibilities. As the text of the law focused more on economic competitiveness, not referring to social performance, and because compliance was seen as an important factor to adopt a social role, it is debatable how in reality, port managers implement the voluntary social responsibilities as part of the businesses' strategies.

Whether compulsory or voluntary, the adoption of social roles by ports was perceived by participants in the web-survey as essential for avoiding an escalation of problems (C.2.2). It seems that participants already believed that taking on social roles can help prevent the escalation of issues that may affect an organisation's so-called 'licence to operate'. Organisations adopting such a posture might not only prevent problems escalating but may, in fact, create better relationships with stakeholders and contribute to a more constructive environment for both businesses and communities (Voyer and van Leeuwen, 2019, Gunningham et al., 2004).

Overall, answers from participants in Phase 1 and Phase 2 demonstrate the conceptual links between the social roles of ports and the CSR1 concept included in Wood's (1991) CSP definition. Results suggest that although the economic perspective of port operations may still have primacy, the managers who participated in this study also demonstrated clarity and conviction about the need to adopt social roles and about their responsibilities in the social dimension. The

following section examines participants' perceptions about the different possible advantages and disadvantages of adopting social roles.

7.3.6 Advantages and Disadvantages of Adopting a Social Role

Perceptions about the possible advantages and disadvantages of adopting social roles was an aspect only investigated during the interviews in Phase 1 of this study. However, the data from this section of the interviews give some possible insights into the management rationale behind the adoption of social roles by ports. It is notable that six (6) out of twenty-eight (28) interviewees perceived only positive implications of adopting social roles and did not refer to disadvantages at all. In total, interviewees in Phase 1 of the study referred to advantages (i.e., 53 references in Table 5-10) significantly more often than disadvantages (24 in Table 5-11). These quantitative results emerging from the qualitative data suggest that these port managers perceive the social roles of ports as a positive aspect of their organisations' development.

A qualitative content analysis of interviewees' quotes related to the advantages of adopting social roles suggests that port managers may see these social roles as a strategic aspect of their management, able to connect them with stakeholders and community groups. Quotes provided by interviewees clearly link the adoption of social roles by port organisations to stakeholder engagement (Tint_06, Tint_07, Tint_27) and to a deeper, more productive, and, ultimately more sustainable engagement with the society in which they operate (Tint_02). Tint_06 explicitly referred to strategy when explaining that the quality of relationships with different stakeholders can benefit the implementation or expansion of port projects. Other interviewees (Tint_03, Tint_17, Tint_21, Tint_23) also talked about the strategic

importance of engaging with stakeholders in case the port faces an unexpected or unwanted event. A potentially significant result in this study is participants' apparent perception of ports' social roles as a vector for social participation and CSP management; as this position organisations as part of the society and not simply economic assets that operate detached from the social environment. This could be a positive indication about what could move managers in ports to incorporate CSP management. The benefits of a better relationship with external stakeholders are one of the topics that attract considerable attention by scholars in the literature, and the examples mentioned above are perceived as outcomes that can emerge from the good practice of stakeholders management in this sector (For examples, refer to Lozano et al., 2020, Dooms, 2019, Lam and Yap, 2019, Cheon, 2017, Dooms et al., 2004, Notteboom and Winkelmans, 2003).

Analysis of the data also revealed a perception that adopting social roles is beneficial to port organisations because it can help facilitate the development of positive relationships with internal stakeholders, not just those external to the organisation. Although sometimes explored superficially, the importance of internal stakeholders engagement and commitment with the port success is often linked to the good management of this important group affected by the organisations decisions (Ashrafi et al., 2020, Aerts et al., 2015). Participants referred to social roles adoption as a means for improving the morale of their organisation, including that of employees and third-party partners, because working in a place where CSP is taken seriously can impart a sense of self-worth and job satisfaction (Tint_10, Tint_25). The flow on effects of high employee satisfaction is tangible and significant, according to participants in this study, because it can

potentially stimulate improvements in operational performance, and because internal stakeholder satisfaction can enhance an organisation's capacity to attract and retain a skilled workforce (Sohn et al., 2015, Jones et al., 2014, Albinger and Freeman, 2000). Overall, satisfied workers can be more productive, and happy workers make the company an attractive place to work.

However, participants in this study also perceived possible disadvantages to the adoption of social roles by ports; disadvantages that can affect organisations both externally and internally, and which need to be acknowledged and addressed if CSP incorporation is to be successful in the port sector. Some interviewees felt that a cautious approach to social roles adoption is warranted because of the potential for a responsibilities mismatch. Tint_01 and Tint_08 both expressed concern about maintaining clear lines of demarcation between the responsibilities of a port and those of the public authorities in the region. In particular, these participants expressed some concern that ports can end up being held responsible for issues in the public sector domain. This concern aligns with the view of scholars who argue that a mismatch of responsibilities can raise false expectations, negatively impact relationships with stakeholders, and potentially lead to animosity towards the organisation (Wood and Jones, 1995, Agudo-Valiente et al., 2015, Costa and Pesci, 2016). An example of expectation mismatch was recounted by Tint_13, who referred to dependence on the economic supports provided by ports, and also referred to strong criticism by stakeholders in moments when the organisation was not able to continue contributing to some initiatives because the budget was limited (for similar example refer to Harrison and Berman (2015)). For Tint_05, Tint_09 and Tint_10, potential disadvantages of adopting social roles were couched in a

more nefarious way, as the socially active port organisation can be exposed to criticism, especially from opportunistic or political groups, even in cases where they were promoting positive benefits to stakeholders. The problems that can arise from the social role adoption can go beyond criticism concerns and move towards criminal issues involving ports participation in illegal activities. In this case, interviewees' perceptions suggested attention to prevent the risk of the organisation to be involved in corrupt practices, leading to the misuse of resources in illegal activities (Moro, 2018).

There was also a belief expressed by participants that a port's adoption of social roles can affect internal aspects of the organisation. For example, Tint_01, Tint_21 and Tint_28 all referred to the challenges of having an increased scope of activities due to actions in the social dimension and expressed concerns about the pressure this additional scope can exert on an organisation's limited resources. Vieira et al. (2015) have shown how some port authorities in Brazil can be reactive to adding more scope of work to their roles, especially if they do not perceive them as essential to the development of their strategy. However, if the social roles were considered as part of the core values of the organisation, the scope of work would not be increased but, in fact, adjusted to the view of sustainable management (Rendtorff, 2019).

From all the aspects discussed in this section, the answer to the SRQ2 is that ports perceive social development as the best representation of their social roles. Participants in this study perceived that social development is more related to the economic influence of their organisations in the social environment improvement. However, participants also recognised that there is room to expand the economic

view as sustainability concerns become increasingly tied to businesses success over time. Moreover, participants perceived the strategic importance of adopting social roles, especially those roles that exist in direct relationship with stakeholders' expectations. Overall, however, perceptions about adopting social roles were still dominated by a focus on compliance with laws and regulations for those managers in the study sample. At the same time, concerns about a mismatch of social roles and responsibilities and between accountabilities of public and private sectors may be acting as a barrier to the further development of CSP management in Brazilian ports. Although presented based on arguments emerging from empirical data in this section, more research is needed to determine if findings from this study may be more generalisable across the sector. Further research might also determine if the wider port community shares the generally positive attitudes towards social roles adoption, which was expressed by participants in this exploratory study. Also, if the understandings about CSP and corporate social roles demonstrated by participants in this study are found to exist in the port sector more broadly, these could potentially be used as a foundation for CSP development in port organisations globally.

7.4 Management of the Social Impacts of Ports

To answer the SRQ 3, this section focuses on the management of social impacts for stakeholders in the port sector, how port organisations develop processes for identifying social impacts, and how the managers in this study set priorities in the context of limited resources availability. These aspects link to the responsiveness processes of CSP management encompassed by CSR2, which were discussed in Sections 5.7, 6.4.5 and 6.4.6.

7.4.1 Social Impacts Identification in Ports

During Phase 1 interviews, participants in this study gave examples of social impacts that they perceived as outcomes of port activities. Themes emerging from the analysis of this data presented a range of positive and negative impacts, giving insight into how these managers comprehend the social impacts of ports. Table 7-4 presents the themes emerging from the qualitative analysis and includes a count of references made to different social impacts by the managers interviewed for this study.

Table 7-4 Perceptions about the social impacts of ports

Social impacts of ports			
Negative social impacts	**Number of quotes**	**Positive social impacts**	**Quotes**
Environmental problems	17	Regional economy improvement	16
Infrastructure overload	16	Improvement in the educational status of the region	4
Social problems	13	Infrastructure development	2
Economic problems	12	Technological improvement	2
Traffic and congestion problems	10	Establishment of a win-win relationship	1
Increased criminal activities	7		
Accidents	3		

The interview question did not differentiate between positive and negative social impacts, asking simply what social impacts were created by ports. Interestingly, the analysis revealed a greater range of, and much larger number of references to potential negative social impacts than for the positive. While five (5) themes related to negative impacts were quoted more than ten (10) times by participants, only one positive impact was quoted more than ten (10) times in those same interviews.

Although only exploratory, results from this study may suggest that port managers perceive more the negative social impacts if compared to the positive ones. This assumption of the managers' view oriented by the content and quantity of quotes from the interviews is referred to in the literature as the manifest content (Gray and Densten, 1998). In the manifest content approach, words are used as a representation of latent ideas that represent the way one thinks reality (Gray and Densten, 1998).

Previous research into the social impacts of businesses (Vanclay, 2002) suggests that the attention given to negative social impacts by interviewees could stem from concerns about regulatory compliance and a desire to avoid possible negative consequences for their organisations. Vanclay (2002) suggested that negative social impacts, especially when they involve financial losses, are somehow easier for organisations to perceive and quantify, which means these potential negative impacts may tend to dominate discussions of CSP management. In contrast, Vanclay (2002) theorised that the dearth of positive social impacts listed by previous studies could be attributed to the difficulties of linking positive social impacts to quantifiable values that can be evaluated by organisations. Vanclay's (2002) idea is supported by the results of this study (Table 7-4) that shows the negative social impacts listed by interviewees are more 'tangible' and often linked to existing statistical sets and evaluation processes. Interestingly, the social impacts of ports have attracted more attention from scholars. For example, Wang et al. (2021) had paid considerable attention to how far the social impacts can be perceived in the zone of influence of the port, while others, such as Bjerkan et al. (2021), have

shown how changes the world climate have placed ports in a central position in the social impacts debate.

Regional economic development (see Table 7-4) is a good example of a social impact that is hard to quantify, even though it appears to be perceived as important. At the same time, interviewees were not able to explain how to assess regional economic development; they quoted it four (4) times more than any other theme derived from the data. This may be a consequence of the prevailing economic development view, as discussed earlier in Section 7.3.2, which tends to be relatively vague and may inhibit the identification of benefits for stakeholders in the social dimension. In comparison, for example, references made in the interviews to composed indexes (i.e., Regional GDP, GDP *per capita*) were much more precise and quantifiable in terms of how they understood their contribution towards the construction and calculation of these indexes. Although scholars in the literature have provided different views about what they understand of regional development, mainly linked to the economic development (Sakalayen et al. 2016, Ferrari et al., 2012), ports do not actually calculate many of these indexes, and when managers refer to them as a way to measure positive social impacts in the region, it is perhaps arguable whether or not they have a concrete understanding of how they might improve the performance they perceive reflected in the numbers. More generally, a limited comprehension of CSP and the broad range of possible social impacts may help explain why regional economic development was cited as the most significant positive social impact created by ports (Sakalayen et al. 2017, Vanclay, 2002). Conversely, some other significant positive social impacts did not emerge as significant themes in this study – positive social impacts such as the conservation

of historical heritage sites (Gómez, 2015, Mottee et al., 2020), or the promotion of health and safety awareness for employees (Vanclay, 2002). A limited view of social impacts may also be related to or affected by the way managers understand the feasibility of identifying and managing them. The next subsection discusses these aspects in more detail.

7.4.2 Social Impacts Management in Ports

The web-survey in Phase 2 of the study explored four (4) main aspects of social impacts management in ports based on themes extracted from the Phase 1 interview data. Due to the nature of the questions asked in the web-survey, a different approach to the favourability score ($\overline{x} > 4.00$) had to be considered to interpret the results. Some of the items presented to participants in this section were developed in a reversed scale approach, which is taken into account in the analysis and interpretation of results.

Taken as a group, participants in the web-survey reported that they did not perceive their organisations acting proactively to deal with potential social impacts (D1.2), felt that their organisations were not well prepared to manage social impacts when they did occur (D 1.4), and reported that their organisations were largely dependent on external support to manage social impacts (D1.1). These results (presented in Table 7-5) accord with previous research that found a lack of preparedness for social impacts management in the port sector (Dooms et al., 2019a, Deus et al., 2019, Constante et al., 2018).

Table 7-5 Perception of processes incorporated in ports to manage social impacts

Interviews		Web Survey		
Theme	Number of quotes	Question	Mean	Rank
Preventative process	15	D1.2 manages negative social impacts of operations before they affect stakeholders.	3.95	1st
Compliance with legal requirements	7	D1.3 only manages social impacts if they represent a risk to the port's operation.	3.42	3rd
Ports' internal processes	4	D1.4 has all the managers in the company prepared to deal with social impacts (from identification to the solution implementation).	3.54	2nd
Using external support	3	D1.1 is able to manage social impacts without the need of external knowledge (e.g., consultancy).	3.34	4th

The port managers who participated in the web-survey disagreed, however, that their organisations only managed social impacts when they were forced to by regulations (D 1.3). The apparent contradiction between this assertion and the interview data which yielded the question may be attributable to confounding of variables in that respondents may not have perceived regulatory compliance as the only reason influencing social impacts management in ports.

7.4.3 The Priority for Solving Social Impacts

Participants of both Phase 1 interviews and Phase 2 survey of the study were asked to describe the factors/criteria determining the prioritisation of social impacts management in their port business operations (see Table 7-6). Participants in the Phase 2 web-survey were also asked to describe how they might prioritise the management of negative social impacts while taking into account a limitation of available resources. Overall, the complexity of the social impact (D 2.1) and the return on investment by addressing a social impact (D 2.3) were the only factors survey participants did not rate as important when prioritising social impacts management.

Table 7-6 Factors/criteria to prioritise social impacts in ports

Interviews		Web Survey		
Theme	**Number of quotes**	**Question**	**Mean**	**Rank**
Risk to operational continuity	16	D 2.2 Risk of operations' interruption.	4.62	2nd
Urgency of the claim	7	D 2.8 The urgency defined by the port to solve the negative social impact.	4.13	5th
Risk to reputation	3	D 2.6 Risk to company's reputation/image.	4.62	2nd
Alignment of the claim with the ports growth strategy	2	D 2.7 Alignment of the social impact solution with the strategy of the company.	4.39	4th
Return of investment	2	D 2.1 Return of investment (e.g., there is a benefit for the company mitigating the social impact).	3.63	8th
Risk to lives	1	D 2.5 The risk that the social impact present to human lives.	4.80	1st
Claims supported by social policies	1	D 2.9 The need to comply with regulations.	4.61	3rd
Validity of the claim	1	D 2.4 Validity of the social impact presented (i.e., linked to the port operation).	4.01	6th
Complexity of the claim	1	D 2.3 Complexity of the social impact to solve.	3.78	7th

The concern to prioritise the safety of human lives to prioritise the solution of social impacts as the first criterion ($\bar{x} \geq 4.00$) was a positive indication that these port managers have a well-developed orientation towards health and safety issues when considering social impacts management. Although only one participant mentioned it during the Phase 1 interviews, this item was rated as the most important criterion for prioritising social impacts management by respondents to the web-survey. While this prioritisation of human lives suggests these port managers felt a genuine concern for the well-being of stakeholders, it may also represent other concerns more related to the economic performance of the organisation. The second and third-ranked themes in the web-survey provide more details about the priority

definition and help to explain the nuances of the first criterion discussed above. Risk assessment to prevent accidents or loss of lives of stakeholders linked to the port activity has been a topic of attention of scholars and has gained more importance if considered the exposure that negative publicity can bring to the organisation (for examples, see Kadir et al., 2020 and Gul, 2020).

Risks to operational continuity and an organisation's reputation were equally rated in the web-survey as the second most important consideration when prioritising social impacts management. These findings imply that managers may be more proactive in the management of their social impact when it is necessary to defend their port organisations. When social impacts draw unwanted attention to the organisation, or when they may put operational continuity at risk, port managers in this study rated the prioritisation of managing the social impact as high. Tint_10, for example, discussed concerns such as, 'am I going to have my neighbour knocking on my door, accompanied by a whole news crew, requesting my operation to stop?'. This statement reflects a view echoed by other participants in the Phase 1 interviews and aligns with previous studies which have found that organisations with a bad reputation or operational problems that affect stakeholders tend to suffer stronger sanctions imposed by public authorities (Nardella et al., 2020). Social media has become a particularly powerful platform for the expression of grievance by stakeholders, able to expose organisations to scrutiny and reveal the reality of their actions in the social dimension (Benitez et al., 2020). Results from this study suggest that the defensive posture adopted by port organisations in Brazil may be a reflection of attempts to prevent or minimise the harm caused by the exposure of negative social impacts linked to port operations.

The need to comply with regulations (D 2.9) was rated the third most important consideration for prioritising social impacts management, which gives some weight to the idea that those managing Brazilian ports take a defensive view of social impacts management. Constante et al. (2018) pointed out that the lack of port authorities' management skills can be one reason leading to the poor management of port performance, and although not directly explored in the text, the scholar's considerations might also include CSP management. Therefore, much importance is given to regulations to guide managers on what to do and not necessarily foster initiatives that could benefit the improvement of CSP management culture. Moreover, if ports do not comply with regulations, the consequences can be serious, including the possible interruption or termination of operations. Issues linked to compliance vary, but they can encompass factors such as the consideration of human safety, environmental issues (Roos and Kliemann, 2017) or other financial aspects such as compliance with tax laws (Moro, 2018). Further research may determine if the prevalence of the regulatory compliance theme in the web-survey data is found more generally across the port sector, reflecting a concern to defend their businesses from regulatory risk and avoid harming their operations.

The alignment of the social impact with the port strategy was the fourth aspect considered by participants as part of the prioritisation process, suggesting that these managers also consider social impacts management from a strategic management perspective. As Tint_01 said, 'there is no free lunch available in business, and if I invest in something in the social dimension, it needs to have links to the objectives of the organisation'. Although relevant, this perspective needs careful consideration. Wood (1991) suggested linking CSR1, CSR2 and the production of outcomes, with

this link moving beyond a concern for return on investment or benefit to the organisation. By way of example, Tint_01 recounted a story involving investment in a community ambulance, so if an accident occurred in the port, the employees affected by it could have better first-aid available. A similar utilitarian perspective was expressed by Tint_23, commenting about organisations which only consider investments in education when employees of the port need access to schools of good quality in the region. If the management of CSP is not applied correctly, understandings about the production of social outcomes is limited (Vanclay, 2002). Moreover, a view of social impact management based on organisational benefits can be used to add synergy to the production of a social outcome. But having the utilitarian view as the criterion to decide which social impacts should be addressed and which avoided should not be adopted by those managing CSP as important aspects of stakeholders' interest can be left aside. Curiously, scholars in the literature have given the port contribution to social development a high level of importance that, if compared with the empirical data collected in this study, do not reflect the practice adopted by managers in the sector (Notteboom and Rodrigue, 2017). In addition, scholars such as Mamede et al. (2020) have shown in Brazil how important it is to both organisations and society to think about how to transform corporate obligations (i.e., taxes payment) into benefits for society.

The urgency and the validity of a social impact were ranked, respectively, fifth and sixth in the mean rank, and they are good examples of how sometimes the corporate view of a port dominates and even excludes the perspectives of other stakeholders. Urgency and validity, in this context, refers to scenarios where only the view of port management was considered. It is well established theoretically, however, that

stakeholders need to be involved in the definition of urgency, in determining if a social impact is seen as valid and involved in the prioritisation of social impacts management (Dooms, 2019, Fu et al., 2018, Skilton and Purdy, 2016). Tint_18 commented that sometimes stakeholders tend to pressure the port, presenting claims unrelated to the port's operations, and this can contribute to perceptions by managers that a particular claim lacks validity. However, making decisions in terms of urgency and validity based solely on perspectives internal to the organisation risks creating unbalanced analyses of the situation. As stated by Costa and Pesci (2016) and Wood (2010), the view of stakeholders is important because, first and foremost, they are the ones affected by the policies and practices of the organisation. Awareness of the views of stakeholders is also important because, in some specific cases, stakeholders may have the power and salience to create a scenario where the port becomes the target of harsh actions by authorities if negative social impacts are not addressed satisfactorily.

Overall, results suggest that port managers in this study had a higher comprehensive view of the negative social impacts linked to their activities, and tended to view a preventative approach as the best to manage social impacts, relying on regulations to guide their actions in the social dimension. Moreover, on average, participants in this study did not perceive that their organisations were fully prepared to manage social impacts and that they relied on external support to do so. This specific section of the survey had two (2) questions with the reversed approach (i.e., E.2.3 and E.2) may tend to be prioritised based on a defensive approach which is guided by regulatory aspects, image/reputation construction, or operational discontinuity risks (Constante et al., 2018).

7.4.4 Stakeholders Management in the Context of CSP

Different aspects of stakeholder management were investigated during both phases of data collection in this study, to analyse how CSP management is incorporated in ports.

In Chapter 5, the analysis of interview data revealed participants' perceptions about which stakeholders are most important from the Brazilian ports' perspective (see Table 5-15). The lists included external stakeholders (i.e., society, legislators, associations, regulatory authorities, and contract bonded stakeholders) and internal stakeholders (i.e., employees, port operators, managers and leaders, and board members). Interview questions in Phase 1 did not mention a division between external and internal stakeholders, but rather asked interviewees simply to list the five (5) most important stakeholders in their opinion. From a quantitative perspective, external stakeholders were quoted more often, and this inducts to the view that managers give more attention to their external relationships when considering the incorporation of CSP management (Gray and Densten, 1998). The communication of ports with their external environment, including the stakeholders present in it, is a topic of interest from scholars that perceive it as an essential aspect to achieve organisational success (Lozano et al., 2020, Santos et al. 2016, Du et al., 2010, Cahoon, 2007).

In connection with the interviews' outcomes, survey results (Table 6-8) revealed that when asked if their companies were prepared to communicate with external and internal stakeholders, participants responded that they perceived their organisations were prepared, generally speaking, to deal with both groups, although

with a slightly higher preparedness towards external stakeholders. These findings confirm the trend towards more focus on the external environment when discussing CSP in ports. The precise reasons for these results are unclear at this stage, based on the data collected, but some suggestions are presented in the sequence below.

From the literature, one possible explanation for more attention given to external stakeholders is the salience and the level of influence that external stakeholders have on port operations (Notteboom and Winkelmans, 2003). Although some scholars argue that external stakeholders are not responsible for decision-making processes (Lam and Yap, 2019), there is often concern about the ways in which some external stakeholders may have influence over those who are in charge of decision-making, especially those making laws and regulations. A possible explanation for the link between the higher level of attention to external stakeholders is based on particular behaviours or characteristics of internal stakeholders. Although internal stakeholders could interrupt the operation if they wanted simply not doing what they were supposed to do if they are unsatisfied, their sensitive position in the contractual relationship with organisations often prevents them from doing so. The constraint to their power may be a reflection of internal stakeholders' 'subservient worker' characteristic, a concept coined by Karl Marx and discussed at length in the literature (Sichel, 1972). As subservient workers, internal stakeholders (e.g., employees) might not go against the organisation because they are dependent on it for their survival (e.g., economic or psychologic dependence). Therefore, managers may regard internal stakeholders as more controllable, and thus concentrate their efforts in the social dimension on external

stakeholders. Further investigation of these aspects could reveal the reasons why external stakeholders draw more attention from port organisations.

Both phases of this study investigated how participants understood the way their organisations managed the relationship with stakeholders in practice. Table 7-7 compares the results from interviews and the web survey.

Table 7-7 Processes for the management of relationships with stakeholders

Interviews		Web Survey	
Theme	**Number of quotes**	**Question**	**Mean**
Building trustful relationships	13	E 2.3 only engages in relationships with stakeholders when it is necessary to do so.	2.59
Knowing/understanding stakeholders	12	E 2.1 considers the expectations that each stakeholder has about CSP when developing the relationship with them.	3.59
Proactive strategies of stakeholder engagement	10	E 2.4 in general, only engage with stakeholders when regulation demands it.	2.43
Preparing the organisation for the relationship with stakeholders	4	E 2.2 has all managers prepared to deal with all stakeholders interacting with our business.	3.36

The quantitative results from this study show that the themes emerging from the interviews did not achieve the level of agreement according to the web survey scores criterion provided previously ($\bar{x} \geq 4.00$). This specific section of the survey had two (2) questions with the reversed approach (i.e., E.2.3 and E.2.4) and the ranking system will not be adopted to drawn conclusions as done in the other items of the survey. Therefore, the analysis of the results needs to consider the particularities of each question presented to participants.

For the first two questions, the results revealed that web survey participants had a neutral view about their organisations' consideration of stakeholders' expectations of CSP while establishing relationships with them (E 2.1), and were also neutral

about the preparedness of managers to deal with stakeholders interacting with their businesses (E2.2). Considering the existing tendency towards agreement on the scale, these neutral results may offer an opportunity for port organisations in Brazil to improve interaction processes with stakeholders and to support managers who are dealing with stakeholders in the context of CSP management. Previous studies have found that the preparedness of an organisation for interaction in proactive/inclusive relationships with stakeholders can be beneficial in different ways. Preparedness can, for example, make the organisation more efficient in terms of corporate practices in the management of the social dimension (Filatotchev and Nakajima, 2014), or promote long term relationships with different stakeholder groups linked to the organisation (Dooms, 2019). Dooms et al. (2019b) discussed that proactive communication becomes an important port strategy piece, especially considering the cases where the organisation endeavours on the international expansion of their businesses. In this case, proactive communication can become an expression of organisations' intentions of interaction with stakeholders and improve stakeholders perspectives in the development of CSP.

Survey results for items E 2.3 and 2.4, although expressing a neutral perception by participants about the reasons for establishing relationships with stakeholders, presented a tendency towards the disagreement end of the scale. The means scores ($\bar{x}$ = 2.59 and 2.43 respectively) suggest that participants neither agreed nor disagreed with the idea of their organisation building relationships with stakeholders based on their corporate interests (E 2.3), nor did they agree or disagree with the establishment of relationships based on regulatory or legislative demands (E 2.4). Even considering the trend towards disagreement for items E 2.3

and E 2.4, the previous analyses in sections 7.4.3 of social impacts management showed the importance given by managers to the organisation's perspective in CSP management, and showed the force of regulations as a motivator for corporate action in the social dimension. However, references from the literature were used in Section 7.4.3 to try explaining the positive aspects that may emerge from the proactive behaviour in the management of relationships with stakeholders. For example, there is a need to consider shared interests in the management of relationships with stakeholders, especially when organisations' strategy and policies are under development, as different stakeholder groups may provide inputs to the CSP management process (Messner et al., 2016, Costa and Pesci, 2016, Kobeissi and Damanpour, 2007). The investment in fair, open and systematic communication processes can help ensure that dialogue with different stakeholders is part of an organisations' approach to CSP management (Koschmann and Kopczynski, 2017, Kobeissi and Damanpour, 2007), which can enhance the representivity of different groups in business development actions (Skilton and Purdy, 2016, Notteboom and Winkelmans, 2003).

7.4.5 Prioritising Stakeholders for Relationship Management

From the interview outcomes, the web-survey also investigated how managers determined the priority for the establishment of relationships with stakeholders. The results from both phases of the study are presented in comparison in Table 7-8.

Table 7-8 Criteria to prioritise the relationship with stakeholders

Interviews		Web Survey		
Theme	**Number of Quotes**	**Question**	**Mean**	**Position**
Risk to operational continuity	16	E 3.1 Stakeholders' power to interrupt operations	4.16	2nd
The physical proximity of stakeholders to the port	2	E 3.2 Stakeholders' geographic proximity with the company	3.67	4th
Claims supported by social policies	1	E 3.3 The need to comply with regulations	4.50	1st
Influence power of stakeholders	1	E.3.4 The need to have stakeholders' support in difficult moments	4.07	3rd

Three (3) items based on the criterion of $\bar{x} \geq 4.00$ were considered necessary by participants to prioritise stakeholders for the establishment of relationships. Complying with regulations (E 3.3) was rated as the essential factor guiding port organisation to engage with stakeholders – probably because, as discussed in 7.4.2 and 7.4.3, they may fear the risk of legal sanctions against their businesses if they do adhere to regulation and law. Interviewee Tint_17 talked about the power of compliance, saying: 'I think the first thing to do is attend to what is requested by law'. Similarly, Tint_04 said that 'the basic thing to do at first is to attend to what is required by law'. Although necessary, Gunningham et al. (2004) argued that going beyond compliance is advisable in order to show the voluntary engagement of organisations in social interactions. The move beyond regulatory compliance requests can, as a consequence, lead to more transparent and stable relationships with stakeholders in the long-term, detaching the view of port management that priority is defined and actions are taken only because the law demands it (Constante et al., 2018, van der Lugt et al., 2017).

The power of stakeholders to interrupt the operations of ports (E 3.1) was rated the second-highest reason for port organisations to prioritise the development of relationships with stakeholders by web-survey respondents. This finding is similar to those discussed earlier in Section 7.4.3 related to the prioritisation of addressing negative social impacts. As Tint_11 said, 'The most important stakeholder is the one that can interrupt, lock, create problems for your operational continuity'. In this sense, stakeholders with this power may enjoy more attention from ports according to the port managers who participated in this study (Notteboom and Winkelmans, 2003).

The third important aspect considered by the survey participants was the support that the organisation could have from stakeholders during challenging times (E 3.4). By prioritising relationships that could offer more support, port organisations could form more partners to cope with the challenges and avoid opposition from stakeholders. (Dooms, 2019) argued that focusing on the support of stakeholders is vital for the strategic development of business, especially when involving the discussion of controversial matters. If appropriate attention to supportive groups occurs, organisations could have support instead of opposition from stakeholders, and outcomes could be positive for all parties involved in the long-term relationship.

Results from this study about the management of stakeholders in the context of CSP can be summarised in three (3) general statements which provide some answers to the SRQ3: 1) the managers from Brazilian ports who participated in this study expressed a tendency to pay more attention to external stakeholders in the management of CSP; 2) these port managers said they did not feel completely prepared to manage relationships with stakeholders and did not perceive their

organisation establishing strategic relationships with stakeholders to manage social impacts; and, 3) the results suggest that these managers gave high levels of importance to regulatory compliance, risks to operational continuity, and the need for stakeholder support when they were prioritising the establishment of relationships with stakeholders.

7.5 The Way Ports Evaluate CSP

Phase 1 and Phase 2 of this study each collected data relating to different aspects of CSP evaluation processes in Brazilian ports. While Phase 1 collected qualitative interview data to explore overall ideas and opinions about the processes involved in the evaluation of CSP in ports, Phase 2 collected quantitative survey data to facilitate a more in-depth exploration of CSP indicators incorporated by Brazilian ports organisations. This section aims to answer the SRQ 4 (How is the CSP of ports evaluated?).

7.5.1 Processes of CSP Evaluation

The first finding from the Phase 1 interviews is that there appears to be a perception amongst these managers that CSP evaluation is not a formal or systematic process that exists in their organisations (see Table 5-18). From twenty-eight (28) interviewees, seventeen (17) reported they did not have a systematic process in place to evaluate CSP. Tint_26 said that sometimes 'there are actions in place to deal with the social dimension, but not something focused on evaluating performance'. During their interviews, Tint_04, Tint_06 and Tint_09 all said that the evaluation process had not been a systematic practice incorporated as part of CSP management in their port operations and that there were many difficulties in defining indicators that could be used for the evaluation of their companies' CSP.

This view presented by participants aligns with the urge from scholars to have more attention given to the development of the social dimension of port performance (Duru et al., 2020, Ha et al., 2017).

In the cases where participants did report the existence of an evaluation process, they said it was due to the need to comply with requirements defined by financial institutions or governmental obligations (Tint_06, Tint_11, Tint_15, Tint_16). Mason and Ying (2020) have shown how financial institutions often play an important role in promoting a more holistic view of an organisation's performance as aspects that differentiate from the economic or environmental performance are taken in consideration to land money to their proponents. This reinforces the survey results discussed in section 7.4.3 which suggest that port organisations may incorporate CSP based more on the need for regulatory compliance rather than on a voluntary basis. Moreover, the apparent inexistence of a systematic process for CSP evaluation aligns with previous research which has found that performance in the social dimension is underestimated and needs more formal development in light of the changes occurring in the port sector (Langenus and Dooms, 2015, Lim et al., 2019).

Although they may not have had formal CSP evaluation processes in place, interviewees were asked if key stakeholders should be involved in the evaluation process of CSP. Seventeen (17) out of twenty-eight (28) managers were in favour of including different groups of stakeholders from the beginning of a CSP evaluation process. These groups included community representatives (Tint_08, Tint_13, Tint_21, Tint_22) as well as employee representatives (Tint_03 Tint_10 Tint_18), as these people were seen to be essential providers of perspectives that

could enrich CSP management in ports. It is also of note that interviewees said that involving stakeholders in the early stages of CSP evaluation was something positive which could lead to more transparency and depth in the analysis process and give stakeholders a greater sense of empowerment in the process and ownership of the results (Tint_06, Tint_09). The inclusive approach echoes the strategic view presented by scholars as a key element for the development of ports around the world (For examples, please refer to van der Lugt, 2017, Santos et al., 2016)

With an exclusive view, two (2) interviewees (Tint_01, Tint_02) said the evaluation process should be conducted only by the port and that stakeholders should be informed of the results. Four (4) interviewees (Tint_19 and Tint_20, Tint_23, Tint_24) said that the CSP evaluation process should be started by the port and later expanded to include stakeholder participation. The main concern raised by the six (6) interviewees together was related to how different stakeholder groups outside the organisation could handle the information or outcomes of the evaluation. However, the exclusion or limited participation of stakeholders in the evaluation of CSP might not represent a desire to exclude, but rather it may be a reflection that these port managers did not feel comfortable about sharing CSP information with some specific groups. This interpretation may help explain why, in the results related to social impacts and stakeholder relationship management, participants in this study expressed neutrality about their organisations exhibiting inclusive and proactive behaviour towards stakeholders. Also, the exclusion of stakeholders in the process of evaluating social performance might reflect the concerns that managers have to have their name linked to negative publicity (de Lara, 2018).

Another important finding from the interviews was a very diverse range of ideas about the possible processes that might be employed to evaluate CSP in ports. This suggests a difficulty faced by managers in defining exactly how, in practice, such evaluations should occur. Fourteen (14) participants referred to quantitative methods that could support CSP evaluation, while another fourteen (14) suggested the inclusion of different qualitative evaluation processes to provide more details about the port's CSP (see Table 5-20). In general, scholars in the field argue that both quantitative and qualitative approaches should be considered together, especially in cases where they can complement each other and provide greater clarity about results (Agudo Valiente et al., 2012, Nóbrega and Cândido, 2015, Isaksson and Woodside, 2016). In other words, the development of processes to evaluate CSP in ports should include both numbers and words in order to explain best how the organisations are performing in the social dimension.

7.5.2 Indicators for CSP Evaluation of Ports

The indicators used to evaluate CSP by port organisations in Brazil were explored in this study using two (2) approaches over the two (2) phases of data collection. First, interview participants shared their thoughts about different processes, methods and indicators that they considered appropriate for evaluating CSP in ports. Then, in Phase 2, using a quantitative approach based on indicators defined during the literature review and the quotes done during interviews in Phase 1, an EFA was performed to identify underlying factors explaining the application of CSP indicators in these ports. The results from this analysis provide a general overview of how participants in this study perceive the assessment and evaluation of CSP in Brazilian ports.

7.5.2.1 The View about CSP Indicators in Ports

When asked to describe the indicators they thought were appropriate for CSP evaluation during the Phase 1 interviews (Table 5-21), twenty-tree (23) out of the total twenty-eight (28) interviewees quoted indicators related to community, twelve (12) referred to pre-existing lists or composed indexes (e.g., HDI, Ethos Institute), and other groups of indicators were mentioned related to environmental factors (7), labour practices (6), fair-operating practices (6), and governance (4).

Two (2) conclusions may be drawn from this data. First, when asked the open question, 'what indicators could be used to evaluate CSP in ports?', the management of external stakeholders (i.e., community) again attracted the most attention from participants, which accords with the literature on CSP management (Lam and Yap, 2019, Dooms, 2019, Sierra-Garcia et al., 2015, Dooms et al., 2004). Based on the manifest content approach (Sichel, 1972), this finding may be another indication that discussions about CSP in ports are dominated by an external focus that needs to be balanced by more inclusion of internal stakeholders' perspectives because they are essential and because organisations often have to strategically produce positive social outcomes related to internal groups (Wood, 2010, Hawn and Ioannou, 2016). Thus, any devaluing or omission of an internal might represent lost opportunities for port organisations to develop more productive and more socially sustainable CSP. Moreover, because many organisations in Brazil nowadays do produce positive social outcomes for internal groups of stakeholders, through policies guiding labour practices, for example, or those governing operational health and safety, omission of an internal view might result in lost opportunities for organisations to publicise positive social outcomes that are already

being produced and which could enhance operational sustainability and reflect well on the corporation (Hawn and Ioannou, 2016).

The second major conclusion drawn from the data is that, when interviewees referred to indexes as measures of CSP, it is not clear to what extent this reflects a deeper understanding of CSP, or if it reflects a practical knowledge of how to evaluate CSP in their own management contexts. For example, when they referred to the HDI index indicators (i.e., life expectancy at birth, expected years of schooling, gross net income per capita), participants in this study had difficulty explaining how the actions of port organisations might influence the composition of the index, and it is not clear exactly how one might measure a port's contribution to the index scores.

Similarly, some interviewees also referred to educational indexes being used as a proxy for the CSP of their organisations, without demonstrating any clear idea of how port actions might affect those indexes. This apparent disconnect raises several questions for further consideration and research: What parts of an index can be directly affected by the actions of a port over time? And what actions need to be taken into account by the port when looking at index numbers? Overall, analysis of the perceived indicators for CSP evaluation suggests that, although managers interviewed for this study referred to indexes and pre-existing lists, they had some difficulty explaining how these things could be used in practice to manage CSP in their organisations. One possible hypothesis is that it becomes more comfortable for these port managers to refer to such indexes because they lack a comprehensive view of the social outcomes produced by their organisations or because these indexes offer a quantifiable statistical 'proof' which may have popular appeal for

corporations seeking to report their results in social development. This view tends to remain at the same or higher level of importance if considered recent studies suggest, for example, using general GDP or population density as social indicators for CSP in port management (Stanković et al., 2021).

7.5.2.2 The Factors Related to CSP Indicators Incorporation

Interestingly, although seventeen (17) interviewees stated that a systematic approach to evaluate CSP in their ports did not exist, survey respondents considered all the forty-four (44) indicators presented in the survey instrument moderately or extremely incorporated. These results may suggest that these indicators were perceived as incorporated discretionarily or the idea that these indicators might not be perceived with something related to the social performance of ports. The former case related to examples that indicators need to be adopted for a specific reason (e.g., regulation response) while the latter might suggest a lack of knowledge about CSP as an already existing part of the port management framework.

Using data collected in Phase 2 web-survey, an EFA was performed to identify underlying factors that might influence the incorporation of CSP indicators in port organisations. The results of the EFA reveal six factors that participants considered important about the evaluation of CSP. The factors which were loaded and the scores of the variables forming each factor are presented in Table 7-9.

Overall, the central aspect observed and previously discussed in Chapter 6 was the strength of regulation aspects linked to the factors loaded during the EFA. The presence of the environmental management factor (EM), the human rights management factor (HRM), and the compliance management factor (CM2)

suggests that indicators of regulatory aspect are incorporated in the context of CSP management in ports. One of the possible explanations for this is that a negative performance linked to these factors can pose risks to organisations in the operational/economic dimension, fear of which may make EM, HRM and CM2 more appealing to managers. The EM factor, for example, was referred to by Tint_09, Tint_17 and Tint_25 as aspects that, if not followed strictly, have the potential to interrupt or even cease the operations of a port. Scholars have already presented the weight of EM indicators for the Brazilian business environment, and the concern that managers have in complying with EM aspects to avoid sanctions from public authorities and regulators (Duarte et al., 2017, Roos and Kliemann Neto, 2017).

Table 7-9 The underlying factors of CSP indicators incorporation perception in ports

Factor	ID	Variables	Factor Loading
The environmental management factor (EM)	F.1.22	Management of actions preventing pollution	0.829
	F.1.25	Actions to promote protection of the natural environment	0.816
	F.1.26	Effectiveness of response procedures to environmental problems	0.796
	F.1.37	Compliance with regulations	0.664
	F.1.23	Initiatives developed to support sustainable use of natural resources	0.656
The suppliers management factor (SM)	F.1.39	Processes to assess suppliers in the social area	0.79
	F.1.38	The alignment between suppliers and the port's social policies	0.73
	F.1.41	Support to develop local suppliers	0.69
	F.1.40	The level of local purchasing	0.69
	F.1.42	Contributions given to develop suppliers' management of social issues	0.66
The community management factor (CM)	F.1.6	The number of jobs created for community members	0.8
	F.1.7	Contribution to community health and safety improvement	0.73
	F.1.4	The promotion of education initiatives	0.71
	F.1.5	The promotion of cultural initiatives	0.68
	F.1.2	The financial investments done in the social dimension	0.68
The human rights management factor (HRM)	F.1.12	Performance solving human rights grievances	0.834
	F.1.11	Development of staff's know-how about human rights in business	0.83
	F.1.10	Management of due diligence processes involving human rights in ports	0.79
	F.1.13	Management of suppliers in relation to potential human rights issues	0.668

Table 7-10 The underlying factors of CSP indicators incorporation perception in ports (Cont.)

Factor	ID	Variables	Factor Loading
The compliance management factor (CM2)	F.1.27	Management of anti-corruption practices	0.83
	F.1.31	Adherence to the code of conduct	0.76
	F.1.29	Fair competition practices	0.74
	F.1.28	Management of responsible political involvement	0.69
The Corporate Social behaviour factor (CSB)	F.1.44	Contractual compliance (e.g., service payments on time)	0.794
	F.1.32	Taxes paid by the company	0.794
	F.1.14	Salary/wage equality between genders	0.748
	F.1.43	Transparency of the processes to contract services	0.716

Tint_11, Tint_15 and Tint_19 expressed the same view about the CM2 factor, seeing it as essential to avoid legal problems that can interfere with the operations of the organisation. Thinking specifically about the Brazilian case, this concern with CM2 might emerge from the fact that several organisations, including ports, have had their operations interrupted in recent years, and suffered severe financial losses due to unethical corporate behaviours punished by law (Moro, 2018).

In the case of HRM, Tint-05, Tint_07, Tint_08 and Tint_27 said that if ports did not adequately manage aspects related to items on this factor, in addition to the potential for the operational interruption, there were also risks of failing to get funding for projects or receiving fines imposed by government (Likosky, 2003). Although it would require further research to find out, results from this study suggest the possibility that such concerns (about potential negative consequences stemming from a failure to attend to items related to the indicators loaded in the factors) might explain why EM, HRM and CM2 were perceived by managers in this study as incorporated in CSP evaluation. The analysis of the 2013 reform law, in this case, is something important to consider as it lags on presenting more explicit information related to items that should be implemented or the sanctions that could

occur if the ports do not follow the requirements established by regulation (Galvao and Robles, 2021).

The community management (CM) factor's existence suggests two different views related to the CSP of ports. The first is a concern about having a focus on local stakeholders, and the second is the attention given by a port organisation to aspects that involve its external environment. CM reinforces the suggestion that external stakeholders are accorded greater importance in the CSP management of Brazilian ports, because some of the indicators link to aspects developed by the port to benefit the community around them, such as the promotion of educational and cultural initiatives. However, the reasons leading managers to adopt practices linked to CM are not conclusive. Although some scholars in the field see the adoption of CM as a way for ports to express their voluntary concern about improving relationships with stakeholders (Dooms, 2019), it can, on the other hand, also be based on a concern to comply with operational licence items, commonly requested by Brazilian authorities in infrastructure projects (e.g., compulsory investment in health and safety infrastructure). In the case of the operational license items, again, the fear of sanctions that could affect port operations becomes a critical aspect for consideration. Even when legal aspects are not the basis of a request in the social dimension, if there are empowered community stakeholders around the port, a more proactive approach towards CSP may help organisations avoid problems escalation that can negatively affect them (Fu et al., 2018).

Lastly, incorporating the suppliers' management (SM) and corporate social behaviour (CSB) factors for CSP evaluation suggests an internal business perspective that attracts more attention from ports about the social dimension of

business. SM indicators are probably part of managers concerns to ensure that practices and policies adopted by ports in the social dimension are aligned with those adopted by suppliers of services and goods working with them (For example, see Khurshid and Ahmed (2020)). Previous studies have found cases where these practices differ between organisations and their third-party partners, and this sometimes creates a conflicting idea of the social dimension management inside the same working environment (Zhang et al., 2013). The misalignment can be prejudicial for business, as some employees, third-party or own, may exhibit less engagement and commitment concerning goals established by the organisation if they perceive different levels of importance given across organisations (Kumar et al., 2016). Further to this, the SCB factor suggests port organisations should adopt more voluntary practices that nowadays are considered necessary for the management of CSP. Indicators in this factor were related to some aspects that organisations can choose to adopt but are not obliged by law to (i.e., salary/wage equality between genders, adopting a transparent process in contract management), which somehow suggests that there is already a growing trend towards the sustainable practices of businesses going beyond the compulsory approach (Smits et al., 2020, Carpenter and Lozano, 2020). The inclusion of SCB indicators can be an outcome of the transformation created by education and nationality diversity in ports' approaches to CSP (Harjoto et al., 2019) or a tentative to enjoy the benefits of when organisations adopt aspects such as gender diversity (Herring, 2009, Boulouta, 2012). Therefore, having indicators that promote diversity inclusion might also be a signal that ports are considering moving beyond the compulsory aspects in their sustainable practices. Overall, the emerging of SM an SCB might

be a reflection of ports' adaptation to the demand for more sustainable practices. In this sense, the perception of managers about these indicators incorporation can reveal that the CSR1 concept defined by Wood (1991) can be already part of representatives' mindset in the sector.

Overall, the analysis of the evaluation process of CSP in ports reveals that there is still room for considerable development in the management of the social dimension of business. Three (3) aspects can be used to summarise the findings of this section. One is related to the implementation of systematic processes for CSP evaluation, including the understanding of what managers in ports can use as indicators in the evaluation of CSP. The second is the suggestion to improve the importance given to stakeholders' participation in the evaluation process as they can contribute with the interpretation of the results and suggest solutions that level society and organisations expectations in the social dimension. Finally, the factors underlying the incorporation of indicators reveal the weight of regulatory aspects and the importance of different stakeholders on CSP management by ports. Although internal and external aspects are represented in the underlying factors exposition, it is suggested that the internal stakeholders should have more attention as these players are the ones that move the business.

7.6 Incorporation of CSP in Port Management

This section presents the findings of the study in Table 7-10 and discusses them based on the concept of Wood (1991, 2010) that underpins this study to provide a comprehensive answer to the PRQ. It presents the summary of the findings and uses the theory developed by Wood (191, 2010) to present the knowledge emerging from

the empirical data analyses. A more in-depth discussion of the table is presented in the sequence.

Although Wood (1991) presented a conceptual definition of CSP, a later review made by Wood (2010) suggested further investigation of how 'performance in the social dimension' is defined and conceptualised in industry sectors where its discussion has been limited or non-existent. From a conceptual perspective, then, for the port managers who participated in this study, CSP connotes how their organisations influence social development and manage social impacts linked to their social responsibilities, defined and measured through processes related to the management of indicators, and with a focus on ports' external environment, relationships with stakeholders, and the management of social outcomes.

This study explored how managers in Brazilian ports comprehend their social roles and responsibilities as defined by Wood (1991) (i.e., CSR1). Results suggest that the port managers who participated in this study understand the institutional legitimacy proposed by Wood (1991), and they expressed a view that ports are simultaneously responsible and accountable for development in the social environments they inhabit. As a matter of public responsibility at the organisational level, participants expressed their understanding of CSR1 through a focus on the improvement of regional economic status and the maximisation of operations to provide better social outcomes for stakeholders linked to them locally. As a matter of individual principle – highlighting managerial discretion in the adoption of CSR1 – the managers in this study expressed a responsibility as port representatives to develop their managerial know-how in the social dimension, to ensure that CSP

management is part of their corporate culture, and to be ‘connected’ with the social environment where they are located.

Data collected for this study offers possible insights into the logic motivating and supporting the incorporation of CSR1 in Brazilian port organisations. Overall, participants in this study rated CSR1 of high importance in business management, but there are concerns about scope definition and alignment of expectations between ports and stakeholders. Participants saw the incorporation of social roles into management as necessary, largely based on perceptions of a need for regulatory compliance and as an insulating strategy for the long-term growth (e.g., preventing potential risks to business operations and reputations).

In respect of Corporate Social Responsiveness processes (CSR2), the managers who participated in this study expressed an understanding that they need to improve the socio-environmental assessment based on the definition provided by Wood (1991). Also, managers gave particular attention to their need for preparedness to identify potential negative social impacts and adopt a preventive approach towards them. In terms of managing relationships with stakeholders, participants expressed a perception that port organisations should be more inclusive of different groups in the development of processes and policies related to CSP management, and saw a need for a port to adopt a more proactive approach to establishing relationships with stakeholders. The results of data analyses suggest that external stakeholders may tend to garner more attention than internal stakeholders when these managers are considering the CSP and social sustainability of their port operations. Yet at the same time, results from this study align with previous research findings that issues of urgency and validity can tend to be approached mainly from the corporate

perspective of the port, perhaps excluding certain stakeholders, potentially making inaccurate assessments of CSP, and possibly being unprepared to deal with negative social outcomes produced by port operations (For examples in the literature refer to Ashrafi et al., 2020, Dooms, 2019, Aerts et al., 2015) .

In anticipating and dealing with negative social outcomes and CSP management, participants in this study prioritised the protection of human life, regulatory compliance, and avoiding operational interruption or reputational damage. Although the effects of port activities can be perceived by stakeholders located far from the organisations, results suggest that local stakeholder groups may be considered more important in the context of CSP management.

From the evaluation perspective discussed by Wood (2010), participants in this study described situations in Brazilian ports in which there is no systematic process for CSP evaluation. Although the managers in this study provided examples of indicators they believed might be useful and some that are perceived as already incorporated by their organisations, in CSP evaluation, it is still suggested that ports do not have focus specifically on the management of the social dimension. In managers' views, it is important that the production of social outcomes and the evaluation of their impacts on stakeholders consider the inclusion of different groups in these processes, however, it is not clear how organisations do it in practice.

Finally, the analysis of underlying factors related to the evaluation of CSP reveals the significant influence of regulations on the incorporation of indicators, and the power of community stakeholders to influence what is managed by ports in the social dimension. Results from this study may also give some indication that CSP

management in ports is becoming more important from an internal perspective, as indicators related to suppliers management and corporate practices emerged as factors in the EFA analysis.

Table 7-11 Research findings underpinned by Wood (1991, 2010)

Underpinning theoretical aspects based on Wood (1991, 2010)		Empirical findings of the study
The understanding of CSP meaning in ports - (Wood, 2010) (SRQ1)	– Wood (2010) suggestion about the investigation of CSP meaning in the context of a specific sector where the topic has not been researched sufficiently	**CSP meaning for ports based on empirical data:** – Social development, – Interaction with the external environment, – Compliance with the CSR1 voluntarily defined, – Social impacts management, – Social performance indicators.
Corporate Social Responsibilities (CSR1) - (Wood, 1991) (SRQ2)	– Institutional principle: legitimacy – Organizational principle: public responsibility – Individual principle: managerial discretion	**Roles of the ports as a business:** − Promote regional development, − Focus on economic development, − Maximise business capabilities to promote social development.
		Social responsibility: − Prepare the organisation to act in the social dimension.
		Main adoption motivators: − Comply with laws and regulations but at the same time, develop a strategy to avoid problems originated from the social dimension mismanagement.
		Business perception: − Positive approach to the social roles and responsibilities adoption but caution about the scope increase and stakeholders' expectations definition.
Corporate Social Responsiveness (CSR2) - (Wood, 1991) (SRQ3)	– Environmental assessment – Stakeholder management – Issues management	**Social impacts management:** − Improve the organisation's preparedness to act in the social dimension, − Adopt more preventive behaviour towards social impacts.
		Stakeholders' management: − Promote more inclusion of stakeholders, − Adopt a proactive approach to stakeholders' management.

Table 7-10 (Continued)

Underpinning theoretical aspects based on Wood (1991, 2010)		Empirical findings of the study
Production of Social Outcomes (Wood, 1991) (SRQ3)	– Social impacts – Social programs – Social policies	**Social impacts priority perspective:** − Risk to human lives comes at first, − Risk to business continuity and image have high importance, − Organisations tend to define what is important to them according to their interests.
		Stakeholders' management priority perspective: − Concern with operational interruption, including regulations, comes first, − Support of groups close to the port is considered of high importance
Evaluation of CSP (Wood, 2010) (SRQ4)	− Wood (2010) suggestion about the analysis of social processes and outcomes of corporate behaviour as the basis for the evaluation of performance in the social dimension.	**Process definition perspective:** − There is not a systematic adoption of CSP evaluation, - Awareness about indicators exist, but their use is not a common practice, − Inclusion of stakeholders in the process although accepted does not have a practical approach, - Perception about processes to evaluate CSP exist, but organisations do not incorporate them.
		Current adoption of indicators: − Overall indicators managers perceived the indicators presented to them as already incorporated by ports, − Factors related to the compulsory adoption of indicators exist, but factors related to voluntary actions in the social dimension are also perceived in port organisations.

7.7 Summary

This chapter discussed the triangulation of results from both phases of data collection, qualitative and quantitative, which were first discussed separately in Chapters 5 and 6. The analysis and triangulation of results from this exploratory mixed-method study shed some light on how CSP might be incorporated into the management of Brazilian ports and offers some guidance towards future research. The summary of results offers an opportunity to propose a different perspective for the Brazilian port sector.

The definition of CSP provided by the port managers who participated in this study references the significant role ports play in the social development of their local regions and the lives of their stakeholders. The processes of social impacts management and the adoption of indicators revealed by participants in this study is a positive sign that the development of CSP and sustainability goals in the port sector are being taken seriously in Brazil. However, their development inside organisations still needs more attention if ports aim to retain their social license to operate.

Views expressed by participants about the social roles of ports focused on the economic perspective of business, which suggests that for these managers at least, positive social performance is linked to regional development based on the positive economic performance of their businesses. Economic performance is a critical aspect for consideration, being the primary reason for a business organisation to exist; paradoxically, however, concerns about perceived possible risks for ports taking on social roles may impede effective CSP management, which may leave ports unprepared to deal with issues arising in the social dimension. Ultimately, the

proper lack of attention to the organisation's social roles may negatively impact their operational continuity, its profitability and its corporate reputation. Results from this study support previous research findings that suggest an increased awareness about the social impacts of ports seems likely to enhance, not detract from the productivity of ports (Terenteva et al., 2016, Ashrafi et al., 2020, Wang et al., 2021, Carpenter and Lozano, 2020). Participants expressed a perception that it is the responsibility of ports and their representatives to develop better approaches to the social dimension, and this feeling of obligation could possibly be leveraged into support for CSP adoption and incorporation into port management – one less dependent on compulsory aspects. As managers perceive social roles as something positive for the business development, representatives of the sector can improve the approach given to scope definition based on alignment with stakeholders' expectations, which could represent an incorporation of CSP as part of the business and not additional work done by the organisation.

The analysis of the processes for social impacts and stakeholder management revealed that participants' perspectives reflected important aspects referred to in the literature. Although the perspective about social impacts and stakeholder management confirms that managers understand, in theory; the processes of CSP management. However, there is not too much clarity about how in practice processes of social impacts and stakeholder management are incorporated by the sector. It is evident from this study that social responsiveness processes are still very much supported in a defensive position by organisations, mainly based on legal aspects with the potential to interrupt operations. A broader view of social impacts management that includes the stakeholders' expectations aligned to the planning of

corporate resources could help to build long term relationships, placing the ports approach to CSP management in a more proactive instead of defensive position. Overall, processes to manage CSP were perceived by managers as positive to both organisations and society development.

Regarding the evaluation of CSP, it was prevalent the view that there is not a systematic process for CSP management in Brazilian ports. Results presented a difficulty for managers to define how to evaluate CSP in terms of metrics and processes. It was also observed through results that although the participation of stakeholders in the evaluation process is welcomed, there are concerns about how this can be done effectively, mostly avoiding organisations unnecessary exposure. Interestingly, results highlight that some of the indicators presented in the literature as valuable for CSP management are already part of the ports routine. From a more specific analysis of factors influencing the adoption of social indicators, there is a suggestion that the incorporation of social performance indicators is guided by regulations (i.e., environmental, human rights and compliance) and more strategic aspects related the importance of stakeholders to be business (i.e., community and suppliers). Results also presented that other indicators more related to the expected behaviour of the organisation in the social dimension emerge as important factors already incorporated by ports.

Overall, this chapter provided the answer to the research questions concluding the cycle of planning, data collection and analysis proposed in Chapter 4. The next chapter will present the conclusions of the study and suggest further research to be developed concerning CSP incorporation in ports.

Chapter 8: Conclusion

8.1 Introduction

The primary purpose of this study was to explore how CSP is incorporated into the management of Brazilian ports. The choice of topic was based on the author's interest in how ports in developing countries perform in the social dimension. Also, there was an interest in contributing to the literature by addressing a gap in the research on CSP incorporation and management in ports. The framework for this exploratory study was developed based on the work of Wood (1991, 2010), focusing on a range of aspects related to CSP, which include:

- The meaning of the CSP in ports
- The social roles of port organisations, including the rationales guiding managers towards the adoption of those social roles
- Port managers' understandings of the management of social impacts and stakeholders, including the criteria used to prioritise actions in a scenario where there are limited resources; and
- The processes adopted by port organisations to evaluate their CSP.

Brazil was selected as the context for research because the country is of particular characteristics that may offer valuable insights into the incorporation of CSP in ports across a large, diverse and emerging economy. On the one hand, Brazil offers a relatively stable market for infrastructure investments such as ports, but on the other hand, those investing in the Brazilian economy can be confronted with a social context where high social inequality can pose significant challenges for the development of businesses in the country. Therefore, organisations such as ports

operating in Brazil have had to adapt their business strategies in order to survive and thrive in such a dichotomous business environment. Also, if organisations such as ports want to adopt and achieve their sustainability objectives in the Brazilian context, they might be well advised to consider their contribution to the social context and how they might create positive social outcomes for stakeholders, minimise harms created by their operations, and enjoy the social licence to operate profitably.

The chapters of the thesis reflect the academic approach adopted by the author to explore the incorporation of CSP management in ports. Chapters 2 and 3 presented a major review of literature, providing two different but complementary perspectives on CSP. Chapter 2 discussed the development of CSP management theory more broadly, including the fundamental aspects of Wood's (1991) CSP definition (CSR1, CSR2, social outcomes production, and CSP evaluation processes). Chapter 3 then presented a more in-depth examination of CSP literature specific to the port sector, including discussion of which aspects of CSP have previously been investigated in the ports context and the findings of previous research about how these aspects may influence the conceptualisation, adoption, incorporation, and quality of CSP management in ports.

Through the major review of literature, a research gap was identified based on a lack of studies linked specifically to CSP in ports. This gap was particularly stark when asking how the theory of CSP is incorporated into the real-world policies and practices of port organisations. Based on the literature review, Chapters 2 and 3 outlined a conceptual framework for the empirical study using the sequential mixed-methods strategy explained in Chapter 4. The sequential mixed-methods

strategy had two distinct but connected and complementary phases of data collection: in Phase 1, qualitative data was collected through telephone interviews with managers working in Brazilian ports, as discussed in Chapter 5; and then, in Phase 2, quantitative data was collected from a larger sample of managers through a web-survey questionnaire, as discussed in Chapter 6. The web-survey questionnaire was developed using themes derived from the Phase 1 interview data, and in this way, the two data sets were able to 'speak' to each other and enable the triangulation of results which was discussed in Chapter 7.

Chapter 5 described the thematic analysis of interview transcripts gathered in Phase 1 of the study, and Chapter 6 described the web-survey results using descriptive statistics and exploratory factor analysis (EFA). From the EFA, six (6) underlying factors were identified to represent and help explain the CSP management and evaluation practices of the study's participants. This exploration encompassed the concepts of environmental management, suppliers management, community management, human-rights management, compliance management, and corporate social behaviours. Chapter 7 triangulated the results of analyses from both phases of this study, and discussed these results with previous research findings and with the model of CSP theory proposed by Wood (1991, 2010).

Chapter 8 now presents the conclusion of the study, summarising the main findings from the academic literature review and the empirical study. The potential contribution of this study to both academic and managerial perspectives on CSP is discussed in Section 8.3. Section 8.4 outlines recommendations for industry practitioners based on the knowledge created by the study. In Section 8.5, the

limitations of this study are identified and discussed. Finally, in Section 8.6 recommendations for future research are presented and briefly discussed.

8.2 Research Findings

This section of the thesis presents conclusions, beginning with a summation of findings from the review of literature presented in Chapters 2 and 3. In sequence, empirical findings about CSP in ports are presented.

8.2.1 Literature Review Findings

The main finding from the literature review process was the non-existence of any studies exploring CSP in ports as a specific topic of research. Although some research had previously focused on aspects related to sustainability performance and the 'green performance' of ports, no research or academic papers could be found that focused specifically on understanding how CSP is conceptualised and evaluated in the context of ports.

Wood (2010) suggested that, when exploring a sector in which CSP is relatively new and un-researched, one should first develop understandings about the meaning attributed to CSP by those working in that context. But a major review of the literature failed to find any comprehensive description of CSP at all for the port sector. Although scholars have previously defined different aspects of performance management for ports, none of these studies defined fundamental aspects of CSP in terms of goals, processes and outcomes for the port sector. Interestingly, a focus on sustainability was frequently found in studies related to ports, but often these studies struggled to include important details about the CSP expected from organisations. Some few studies were identified and reviewed that did cite Wood (1991), but these

encompassed a limited range of concepts and without necessarily embedding them in the context of CSP management in ports.

The literature review undertaken for this study exposes the dearth of discussion and research on the social roles of ports, and no peer-reviewed academic papers were identified at all that examine the rationales for port organisations to adopt social roles. Although scholars have previously examined the strategic roles of ports in developing socio-economic capabilities, and some research has been done examining the role of ports in maintaining the natural environment where they operate, these studies have limited emphasis on the specific social roles of ports as corporate entities. Moreover, it was rare in the literature reviewed to find studies that sought to unveil the motivations and rationales for social role adoption by port organisations. These gaps in research and the academic literature included a range of aspects related to CSP that have been examined in this study. This study sought to fill the identified CSP research gap by examining perceptions of social roles and responsibilities, the perceived advantages and disadvantages of ports adopting social roles, and the reasons leading to the adoption of a social role in the corporate environment. Overall, the literature reviewed for this study was often concerned with screening or analysing actions developed by organisations, rather than examining how those responsible for business management understand their roles in the social dimension.

In contrast, a considerable number of studies were reviewed which examine the management of stakeholders and the analysis and assessment of social impacts. Again, however, these studies do not explore these themes specifically in terms of CSP and ports. Although studies examining the identification of key stakeholders

and social impacts were relatively easy to find, it was not possible to analyse the level of preparedness of organisations to act in the social dimension, or to identify the criteria used to define actions that were at the same time strategic to organisations and beneficial to stakeholders. Because port organisations, as any other organisation, are often limited in resources, managers' prioritisation of actions in the social dimension needs to be carefully considered, while at the same time managers need to ensure the actions taken are capable of supporting the sustainable development of the port in its social context.

The operational, financial, and environmental corporate performances of ports have been widely studied, from different perspectives, including in terms of sustainability performance that sometimes indirectly encompasses aspects of performance linked to the social dimension. The main focus of this study is an exploration of the processes and metrics used by managers in ports to evaluate CSP and manage the social impacts caused by their organisations. None of the previous studies cited here comprehensively explore how performance evaluation in the social dimension occurs in ports, or how port managers understand CSP evaluation processes and metrics.

The findings of the literature review could potentially help further amalgamate existing knowledge about CSP management in ports by providing scholars and practitioners with a fundamental view about how CSP should be considered in a systematic management approach. Furthermore, through its analysis of original empirical data, this study also offers new knowledge about CSP management in ports which may help to improve actions that are already adopted by the sector (e.g., sponsorship of sports events, promotion of cultural events) and support the adoption

of new practices more oriented to stakeholders wellbeing. Most of the research gaps identified by the literature review were subsequently examined using the data collected across the two sequential phases of data collection for this study, as discussed in chapters 5, 6 and 7. In the following section, the empirical findings of this study are summarised based on the CSP definition provided by Wood (1991).

8.2.2 The Empirical Findings of the Study

The empirical findings of this study suggest that CSP, as a managerial concept, needs more development in ports. Although the managers interviewed for this study found it challenging to define CSP, the empirical results suggest that participants were still able to refer to different aspects of CSP aligned with Wood's (1991) definition. These port managers referred to aspects of CSR1 (i.e., compliance with voluntary social responsibilities), CSR2 (i.e., management of social indicators, management of processes linked to the social dimension, or management of the external environment), and the production of social outcomes (i.e., participation in regional development) as a representation of CSP in ports. Although these managers provided different interpretations about their comprehension of CSP, it was evident the lack of a link between these CSP definitions and the systematic evaluation process adopted by organisations included in the study.

Regarding the social roles and responsibilities of ports, results from this study suggest that participants' thinking about their organisations' roles in the social dimension is strongly related to concerns flowing from the economic dimension of their business operations, even at times referring to the economic perspective as the primary the driver for social development. From Wood's (1991) definition of CSR1

in CSP, looking at the institutional level, the results of this study suggest that these managers perceive ports as an institution responsible for the development of society. Through the data provided, managers participating in this study also emphasised the use of ports' economic power to ensure good corporate performance in the social development role. At an organisational level, looking at the influence that ports can have locally, managers participating in this study expressed a belief that the social role of ports is to improve relationships between the organisation and the stakeholders in their surroundings. Looking at CSP from an individual perspective, these port managers perceived a need to improve their knowledge of CSP in order to improve the incorporation of CSP into the management of their organisations. Although participants considered social roles strategically beneficial to their organisations, compulsory regulatory aspects were given considerable weight in determining their adoption of social roles.

Wood's (1991) aspects of CSR2 – stakeholders and social impacts management – were presented in different ways in the context of the study's analysis of CSP in ports. In terms of social impact management (Wood, 1991), data collected from the managers in this study reveals a dependence on external support to develop actions in the social dimension. Results also reveal a somewhat paradoxical, and perhaps self-defeating tendency for the primary determinant governing the prioritisation of actions to manage social outcomes to be the perception of risk to the operational development of the organisation (i.e., operational continuity or business expansion).

The findings related to stakeholder management also suggest that, in the context of CSP, these port managers may pay more attention to external stakeholders in their surrounding communities, rather than those stakeholders internal to the

organisation. However, analysis reveals a dissonance between this apparent bias in attention towards external stakeholders and a tendency for these very same stakeholders to be marginalised in CSP processes. In general, managers in this study considered it very important to manage issues linked to external stakeholders but were not able to explain how they considered external stakeholders' participation in different moments of the development of action plans linked to CSP management.

For the Brazilian port organisations represented in this study, results reveal an apparent lack of clarity in defining corporate objectives in the social dimension, as well as a lack of clarity about the processes/metrics employed to evaluate their CSP. Although individual managers were able to describe different approaches to CSP evaluation, both qualitative and quantitative, it remains unclear how, in practice, they implement these evaluations as part of their organisations' management practices. There is a discernible tension between theory and practice when looking at the results of this study linked to the production of social outcomes and CSP evaluation. The majority of managers seemed to consider stakeholders important theoretically to CSP processes, but it is not clear how, in practice, these organisations may include different stakeholders in processes to address negative social impacts.

Overall, systematic adoption of CSP evaluation does not yet seem to be a reality in Brazilian ports, but this study found that different indicators proposed in the literature have already been incorporated into organisational routines. The results of the EFA reveal that some of the indicators perceived as incorporated relate to regulatory compliance and the need to maintain operational continuity. However,

some indicators, such as gender balance, were probably adopted as part of a port's strategic approach to CSP management.

8.3 Contributions of the Study

Primarily, this study contributes to knowledge about how port managers in Brazil conceptualise CSP management. Scholars in the field have urged for more attention to be given to the development of CSP management in ports, and this study has contributed to that call with five (5) themes that may represent the views of Brazilian managers: participation in the regional social development, interaction with the external environment, compliance with voluntary social responsibilities defined by the organisation, management of processes in the social dimension, and the management of indicators linked to the social dimension.

The study also contributes to the definition of social roles for ports using the Brazilian context as the background of the research. Although different roles have been defined for ports in previous studies, this study identifies a gap related to social roles and what is expected from ports while evaluating their actions towards the social environment where they were located. This study adds to academic knowledge about the social roles of ports linked to the promotion of the social development, the improvement of the economic status of the region, and the maximisation of the port's operational capabilities as a means to promote social development. This study not only contributes to the identification and definition of social roles but also may help emphasise that non-economic factors linked to the wellbeing of stakeholders should be considered more systematically and more seriously by port managers in Brazil.

From a performance management perspective, this study also contributes to a better understanding of the management of stakeholders and the social impacts of ports. Although previous studies have investigated stakeholder management and social impacts, none have focused on how these things are considered in the context of CSP management. Therefore, this study suggests that more holistic and balanced attention be given to internal and external stakeholders, and the management of social impacts linked to these different groups. The findings of this study may help to confirm that port managers in Brazil understand the importance that stakeholders and social impacts management have for their organisations, which may complement this study's contribution to supporting the development of CSP-related managerial skills within port leadership. The study also makes what may be important contributions to the identification of factors which can influence the prioritisation of relationship development with stakeholders and in the development of solutions to negative social impacts. The main contribution to the prioritisation definition is linked to recommendations that modern corporations need to think beyond compliance with laws and regulations, to focus more on issues of interest to both stakeholders and organisations.

Finally, this study contributes to understandings about the current state of CSP evaluation in ports, and sheds some light on the challenges to adoption of a systematic process by the sector. As part of the literature review process, a list of potential CSP indicators were proposed that could be employed in the management of CSP in ports. Also, from the empirical data, the study contributes to the establishment of robust evaluation processes that go beyond the current state of discretionary adoption of indicators and processes based on different managers'

levels of knowledge about CSP management. Based on the theory proposed by Wood (1991), this study may help improve perceptions and opinions of CSP in ports, aligning the current adoption of social indicators already in place with the need to develop corporate social objectives and management processes that represent sustainability goals defined by the port sector.

8.4 Recommendations for the Industry

This study recommends that managers in the port industry develop a more robust understanding of CSP incorporation by connecting objectives, processes and outcomes in the social dimension. This study found that an understanding of 'what CSP is' does exist, but this does not necessarily reflect the adoption in practice of a systematic CSP management process where objectives, processes and the evaluation of corporate performances in the social dimension are connected. One of the points that need reinforcing if CSP in ports is to be better incorporated and evaluated is the understanding that social development does not depend solely on economic development. Although important, economic development needs to complement the views of both internal and external stakeholders about what matters in their relationships with ports.

In terms of defining social roles, this study recommends that organisations think about how social roles can be translated in practice into social development. The understanding of social roles may improve if, for example, organisations take the views of stakeholders on board and align their social roles with the expectations of different stakeholders about desired outcomes. It is clear from the data that these managers, in theory, understand the importance of their organisations in the social dimension, but this contrasts with a tendency for these managers to perceive actions

linked to CSP management as an additional scope to be added to their organisations' profile only if and when it is perceived as necessary (most often in the context of risk or threat to operations). Results from this study suggest that relationships with stakeholders and social outcomes can be enhanced when actions linked to CSP management are incorporated as core activities and employed in an *ad hoc* fashion.

Concerning the responsiveness processes of CSP, this study reiterates the recommendations of other researchers (Lozano et al., 2020, Lim et al., 2019, Sislian et al., 2016, Wood, 2010) that CSP should be accorded the same level of importance as economic and environmental corporate performances. CSP can be, for example, included as part of corporate goals linked to rewards for positive corporate results. This study recommends the adoption and development of processes with an approach more tailored to the analysis of social impacts created by organisations for different stakeholders. The objective of this recommendation is to promote the inclusion of aspects that 'really matter' in the relationship between stakeholders and ports within CSP processes development. In a first stage, the adoption of proactive behaviour is recommended to build understanding within the different levels of an organisation of how port operations can affect stakeholders, and how social outcomes management activities must be well defined in order to manage the social impacts created by business operations successfully. In later stages, it is recommended that port organisations align their corporate view with the expectations of different stakeholders to ensure that both sides of the relationship are aware of the expected outcomes (Schrobback and Meath, 2020).

There must be an effort to improve the participation of different groups of stakeholders in the feedback process related to CSP management, including more

emphasis being placed on internal stakeholder perspectives, given that they are also socially impacted by the organisation. It is also recommended that attention be paid to the improvement of transparency and trust between stakeholders and port management, to establish positive relationships with different stakeholders which can help avoid any potential tensions that may arise due to port actions (or inactions) or the misalignment of expectations. Although the dependency on external support (such as consultancy services, for example) to manage CSP might continue to be a reality in these Brazilian ports in the short- to mid-term, it is recommended that port organisations aim over the long-term to develop more sophisticated understandings about CSP, and develop a better approach to CSP management inside their managerial cohort-specific to the port sector context.

Finally, this study recommends more incorporation of systematic evaluations of CSP, including the use of specific processes and indicators to assess social outcomes. Although different indicators in the social dimension are already part of the reality of port management, the incorporation of these indicators is not included here in the context of systematic CSP analysis. Systematic, in this case, means evaluations performed within established time periods, using specific and inclusive processes, and with reports issued to present results publicly. Indicators should present a link between the policies and actions of an organisation and their influence on the results of CSP evaluations. The use of high-level indexes such as the HDI should be avoided if it is not possible to identify how exactly the port's actions (or inactions) may be contributing to the quality of CSP and the nature of social outcomes.

8.5 Limitations of the Study

Four main limitations must be emphasised about this study.

First, although it is important to add knowledge related to CSP management in ports, the results obtained in this study are limited to the Brazilian port organisations represented by the managers who participated in Phase 1 and Phase 2 of this study. Aspects such as social values or the notion of social development may be different in other social contexts and other countries. Therefore, caution is advised concerning any generalisation of results from this study.

Second, this study's exploration of CSP in Brazilian ports is limited to the perspectives of managers working in those ports. If one accepts that stakeholders are essential to any genuinely valid CSP management process, then only having insight into the views of managers on this topic means that a range of potentially significant perspectives is absent from meaningful consideration.

Thirdly, the design of scales and questions presented in the survey phase offer room for improvement and, if implemented, might provide mode accuracy to the results obtained through the data collection. A suggestion is made, for example, to focus more on the direction than the intensity of answers (e.g., agree x disagree only).

Last, the samples in both phases of this study presented a predominance of solid bulk ports, which was not considered surprised based on Brazil’s participation in the bulk commodity market (e.g., ores, seeds, sugar). Although the general view about CSP might not change if considered the focus on other types of operations, some specific aspects (e.g., definition of social impacts) might differ from those

represented in this study if there is a predominance of other port activity in the sample. Therefore, this limitation needs to be considered.

8.6 Recommendations for Future Research

This study identifies six main areas for further research which are explained below: the definition of CSP objectives and processes, more consideration of stakeholder perspectives, theoretical knowledge comparisons with real-world practices, the inclusion of stakeholders in actual CSP processes, and the examination and comparison of CSP in other social contexts and business environments.

First, from an academic perspective, this study recommends further exploration of how port organisations define their objectives and processes in the social dimension. Although this study presented what is perceived by port managers in terms of CSP comprehension, further research could help to understand how, in reality, organisations define CSP objectives in the social dimension, according to the nature of their operations. Further research might also add to understandings about why some organisations do not incorporate CSP into their management practices. Further research could also be conducted considering the differences between ports according to specific characteristics (e.g., ownership model, different layers of port organisations, port size, proximity to cities or port operational characteristics). If possible, attention to the profile of participants and the roles they occupy in the organisations could also be used to identify potential narrow views about CSP incorporation (e.g., human resources, operations).

Second, findings from this study suggest the need for a shift of focus, away from a business-dominated model of CSP management towards one more inclusive of

stakeholders and more sensitive to the nature of social outcomes produced by port operations. By taking greater account of the views of stakeholders, port managers could help improve understandings of CSP which may move beyond the predominance of an economic perspective and the notion that corporate economic performance can be used as a proxy for performance in the social dimension.

It is also recommended that more research be done comparing the social roles of ports presented in this study within different social contexts presented by other developed and developing countries. The findings of the additional research could confirm the social roles perceived for ports in Brazil as a general view worldwide but also add new roles that differ from the ones emerging from the Brazilian research context.

Third, this study investigated port managers' perceptions of CSP management in ports, which may not necessarily represent what organisations do in reality. Therefore, further investigation is recommended in the real-world practices adopted by organisations in the management of CSP. Additionally, the study recommends an in-depth exploration of the real processes used to manage relationships with stakeholders and mitigate negative social impacts. Overall, an investigation about the importance given to regulations and the impact that this has into managers reactive behaviour in relation to CSP incorporation in ports is recommended.

Fourth, further research is recommended to investigate how the participation of stakeholders can become more effective in the CSP evaluation process in ports. Although considered necessary by the managers in this study, stakeholders' participation was depicted with theoretical examples that could not be confirmed in

reality. Moreover, further research could investigate the processes involved in the evaluation of the different indicators suggested for CSP management and the methodologies employed by ports to score them.

There is also a recommendation to develop further research using additional data for analysis. Further research can consider a content analysis of ports' sustainability reports in the social dimension to explore how ports practically incorporate CSP in their management. The analysis of data could also be expanded to the perceived importance of indicators for organisations and how managers score their incorporation in the day-to-day routine.

Finally, it is the major recommendation of this study to explore the incorporation of CSP management in different social contexts in addition to the Brazilian scenario explored in this study. Additional research is also recommended considering the comparison of the results of this study with the perception about CSP incorporation by other industries, especially those in the logistics sector. Qualitative and quantitative methods could be employed to compare the results discussed here in the Brazilian case with data about the perceptions, opinions and CSP practices adopted in different countries and settings. The investigation of CSP incorporation in different social contexts could enable more generalisability of results related to the topic.

Appendices

Appendix A
Compilation of social indicators based of literature review
Group Community

Indicator	Metric	Quantitative Measurement	Qualitative measurement
Level of Community Involvement	Inclusion of Community in : · Social impacts evaluation · Social impacts disclosure · Action plan elaboration · Action plan disclosure	· Number of events performed in comparison to the objective set.	· Existence of goals for each event, · Existence of processes defining how to execute these events.
	Community skills' development (based on knowledge sharing initiatives).	· Number initiatives developed by the organisation focused on the transfer of knowledge.	· Outcomes achieved by the community derived from the knowledge sharing initiative. · Existence of a plan with clear objectives for further development.
	Community infrastructure development (Monetary and material donations. Exclude education programs support).	· Monetary amount donated to communities' social programs development.	· Criteria applied to prioritise these donations, based on the company's assessment of the community.
	Success solving community grievance.	· Number of grievances reported in a time frame · Number of grievances responded in a time frame	· Existence of a communication channel, · Process in place to record, and provide feedback (including disclosure). · Access to databases by stakeholders (where confidentiality allows).

Appendix A
Compilation of social indicators based of literature review
Group Community

Indicator	Metric	Quantitative Measurement	Qualitative measurement
Promotion of Education and Culture	Participation in educational programs (Monetary contributions)	· Monetary amount donated (calendar based).	· Existence of decision criteria (or strategy) to prioritise programs,
			· Inclusion of follow up and maintenance.
	Employees' participation in community educational development.	· Number of working paid hours per year that employees are entitled to contribute to social programs with the company permission.	· Action plan created based on the feedback process provided by employees about the process
	Donations for educational development (Products and services)	· Monetary amount invested in products and services to improve the educational status of the community.	· Community feedback related to the best use of resources.
Assurance of Employment and Wealth Creation	Employment priority for community members.	· Percentage of total new employees hired from the community (target to be established and agreed).	· Existence of a policy stating the commitment of the company to prioritise local employees along the time.
			· Target defined the percentage of new employees hired from the community (including long-term plan).
	Local business development (including potential suppliers).	· Number of initiatives focused on the development of local suppliers.	· Existence of program with a focus on the development of local business, including clear targets and analysis process.

Appendix A
Compilation of social indicators based of literature review
Group Community

Indicator	Metric	Quantitative Measurement	Qualitative measurement
Improve Community Health and Safety	Community's health and safety improvement (actions not depending on monetary support)	· Number of health and safety initiatives promoted by the company in the community.	· Existence of a permanent H&S committee, including different stakeholders from the community.
	Community's health and safety improvement (monetary and material investments).	· Monetary amount invested in communities' health and safety initiatives.	· Continuous feedback process with the community to define areas of interest and long-term targets.
Attention to Sensitive Groups	Relationship management of indigenous or re-settled groups.	· Number of initiatives promoted in a defined time frame to address issues related to sensitive groups.	· Existence of policies and procedures to deal with sensitive groups.
Alignment Between Community and Corporate Security Forces	Community information about corporate security issues.	· Number of information sessions held in the calendar base (includes institutional campaigns, information disclosure on the website and other sources relevant to the business).	· Policy defining frequency and content of the information sessions provided to community (include procedures and norms updates)
			· Assessment of quality of informational content, including the firms' activities and the reason for security measures.
	Regular community visits programs.	· Number of visits of community to the promoted by the organisation (calendar base).	· Feedback provided by the community during the events.
	Quality assurance of the security process	· Number of incidents involving local community members and security force members.	· Assessment of security service providers to ensure safe procedures in place.

Appendix A
Compilation of social indicators based of literature review
Group Environment

Indicator	Metric	Quantitative Measurement	Qualitative measurement
Pollution prevention	Pollution control standards	· Levels for noise, air emissions, waste generation and hazardous material in each process.	· Existence of a robust environmental management system with clear goals and objectives.
			· Existence of process in place to deal with non-conformity.
			· Existence of reporting procedures.
Sustainable use of resources	Promotion of training and education programs	· Number of events promoted per year	· Range of participants (includes communities, schools, employees, suppliers and other stakeholders)
Promotion of climate change initiatives	Engagement in climate change mitigation	· Number of programs in place dealing with climate change, including metrics for the follow up of results (i.e., CO2 emission reduction)	· Existence of specific studies and actions focused on environmental changes.
			· Inclusion of different stakeholders in the plan and actions elaboration
Protection of the environment	Engagement in environment protection	· Number of initiatives (including institutional events) promoted in a calendar base	· Feedback from participants and the community about the relevance and effectiveness of the initiatives in place.
		· Number of action with explicit insertion in the objectives of environmental protection.	

Appendix A
Compilation of social indicators based of literature review
Group Environment

Indicator	Metric	Quantitative Measurement	Qualitative measurement
Preparedness of response procedures	Level of preparedness for emergency responses.	· Number of response procedures elaborated including emergencies from different nature. · Number of drills performed on a calendar basis simulating responses to different environmental issues.	· Level of detail in the procedures' content and organisational preparedness to deal with different scenarios
			· Access to procedures content by different stakeholders (including risks assessment)
			· Existence of a contact number to inform emergencies occurring.
			· Elaboration of action plans based on feedback meetings after the emergency response.
	Effectiveness of response procedures	· Number of events reported on a calendar basis. · Percentage of problem elimination based on the response procedure.	· Transparency in the disclosure of the events and the measures taken by the organisation during the response. · Existence of policies defining the roles and responsibilities during an emergency event.

Appendix A
Compilation of social indicators based of literature review
Group Fair Operating Practices

Indicator	Metric	Quantitative Measurement	Qualitative measurement
Anti-Corruption Practices	Corruption elimination	· Number of incidents reported in a calendar base	· Existence of procedures and policies to deal with corrupt practices in the business and its supply chain.
			· Existence of a communication channel to deal with corruption cases with the guarantee of confidentiality and feedback.
	Level of transparency concerning corruption elimination	· Disclosure about the Number of cases.	· Access to corruption cases information (excluding data protected by confidentiality issues)
		· Disclosure about the monetary amount paid in fines.	
	Anti-corruption training	· Number of hours per employee training in this specific subject	· Feedback provided by employees concerning the training objectives and its use in the daily routine.
Responsible Political Involvement	Engagement in political support	· Monetary amount destined to donations for lobbying, public campaign or political parties.	· Existence of clear policies inside the organisation guiding about support and involvement on political activities.
			· Existence of reports or information containing all political donations and support given by the organisation.
			· Access to the information by the public.

Appendix A
Compilation of social indicators based of literature review
Group Fair Operating Practices

Indicator	Metric	Quantitative Measurement	Qualitative measurement
Fair Competition Practices	Engagement in ethical business	· Number of issues reported in disagreement with the policies adopted by the organisation.	· Existence of business ethics policies or code of conduct (including issues related to price-fixing, unfair competition, money laundering, tax fraud, bribes).
Socially Responsible Supply Chain Practices	Equal opportunities for suppliers		· Policies and procedures to guarantee equal suppliers' competition and participation in bid procedures.
Respect for Property Rights	Protection of property rights	· Monetary amount of fines and non-monetary sanctions created to the breach of property rights rules.	· Public information reporting through different channels · Organisation's involvement in property rights disputes.
			· Statement available in public information channels informing about companies' lack of liability in such cases.
Code of conduct	Promotion of code of conduct	· Number of hours per employee invested in training in this subject.	· Existence of a corporate code of conduct.

Appendix A
Compilation of social indicators based of literature review
Group Labour Practices

Indicator	Metric	Quantitative Measurement	Qualitative measurement
Best Practices on Employment Management	Freedom of employees (including third parties) to engage with unions or other bargaining entities.		· Clear policy statement supporting the freedom of employees to engage with unions and collective bargain associations.
	Equal gender employment opportunities	· Percentage of gender participation (total, per sector and per function)	· Policy in place establishing goals to minimise gender inequality, clear goals and support to actions development.
	Salary and wages equality between genders (in the same function).	· Monetary gap between different genders employees in the same function.	· Clear policy in place stating all the targets and objectives related to the theme. · Action plan in place to achieve the goals.
	Employee Turnover Rate	· Percentage of employee turnover (calendar base), · percentage of voluntary employee turnover rate, · Cost with hiring per full-time equivalent (FTE).	· Existence of policies defining a target for turnover rates. · Existence of an action plan to achieve the expected results.

Appendix A
Compilation of social indicators based of literature review
Group Labour Practices

Indicator	Metric	Quantitative Measurement	Qualitative measurement
Improvement of Work Conditions and Social Protection	Management of work conditions grievances.	· Number of grievances registered and responded in a time frame.	· Clear policy in place to support the response to grievances, ensuring the protection of the employee. · Categorisation of grievances and treatment of each according to an established action plan.
	A balance between work, family and personal commitments.	· Number of initiatives promoting the balance between professional and private life quality.	· Assessment to employees to explore the perception of the balance between private and professional life.
	Elimination of child work, young workers labour practices not allowed by the law.	· Number of assessments conducted with the objective to audit labour issues, including suppliers.	· Policies in place ruling young workers employment (in the cases allowed by the law)

Appendix A
Compilation of social indicators based of literature review
Group Labour Practices

Indicator	Metric	Quantitative Measurement	Qualitative measurement
Improvement of Work Conditions and Social Protection	Fair access to parental leave.	· Number of employees that were entitled and took parental leave (by gender), · Number of employees that returned to work in the reporting period after parental leave ended (by gender), · Number of employees that returned to work after parental leave ended that were still employed 12 months after their return to work (by gender), · Percentage of employees that returned to work and were retained (by gender).	· Policy and process in place to guarantee that the employee will not be punished or discriminated after the return to work. · In case of an employee leaving the organisation after parental leave, consider voluntary and involuntary motivation description.
	Support concerning retirement planning, including pension provision.		· Existence of programs dealing with the subject (i.e., the existence of a retirement fund supported by the company).
	Benefits equality between full-time and part-time employees.	· Percentage of benefits that apply for full and part-time employees.	

Appendix A
Compilation of social indicators based of literature review
Group Labour Practices

Indicator	Metric	Quantitative Measurement	Qualitative measurement
Promotion of Social Dialogue in the Organisation	Effectiveness of the change management process.	· Number of weeks' notice provided to employees and their representatives before the implementation of significant operational changes that could substantially affect the workforce.	· Policy or procedure describing the communication process. · feedback from employees about the effectiveness of the change management process.
	Social dialogue transparency (labour practices).	· Number of campaigns or information sessions promoted in a calendar base.	· Clear policy ensuring fair social dialogue practices.
Adoption of Health and Safety Practices	Reliability and effectiveness of H&S management system.	· Number of relevant indicators controlled and their targets.	· Existence of management system guiding the management of H&S issues
	Mental health wellness management.	· Number of H&S cases reported concerning mental health.	· Existence of mental health initiatives, focusing on work stress and lifestyle issues.
		· Number of action plans developed about the cases reported	· Disclosure of main mental health problems and results from action plans (excluding sensitive and confidential cases)
Human Development and Training	Employee development (Corporate training programs)	· Number of initiatives promoting employee development through corporate training programs.	· Existence of policy for personal development through corporate training programs.
		· Percentage of employees benefited by the program.	

Appendix A
Compilation of social indicators based of literature review
Group Labour Practices

Indicator	Metric	Quantitative Measurement	Qualitative measurement
Human Development and Training	Equal gender participation in training programs.	· Percentage of professional development training hours (e.g., by gender groups).	
	Long career development and managerial skills development programs.	· Number of programs in place	· Clear description of the program including nature, selection criteria and other aspects.
		· Percentage of employees contemplated by gender.	

Appendix A
Compilation of social indicators based of literature review
Group Labour Practices

Indicator	Metric	Quantitative Measurement	Qualitative measurement
Promotion of Diversity	Workforce diversity	· Percentage of employees in each relevant category	· Definition of categories include gender, age or minority groups
	Discrimination grievances	· Number of incidents registered in a calendar base;	· Clear procedure in place guiding available contact channels, confidentiality terms and feedback process.
		· Number of action plans implemented to eliminate discriminatory practices;	

Appendix A
Compilation of social indicators based of literature review
Group Labour Practices

Indicator	Metric	Quantitative Measurement	Qualitative measurement
Promotion of Diversity	Female and minority groups inclusion	· Percentage of the female share of the total workforce,	· Existence of corporate information related to the diversity support within the organisation.
		· Percentage of females in management positions (as % of total management workforce),	· Disclosure and access to information generated concerning diversity programs
		· Percentage Females in top management positions, i.e., maximum two levels away from the CEO or comparable positions (as a % of total top management positions).	
		· Percentage of females in management positions in revenue-generating functions (i.e., sales) as a % of all such managers (e.g., excluding support functions such as HR, IT, Legal).	
		· Breakdown of the workforce based on other minority groups (e.g., age, nationality, disability).	

Appendix A
Compilation of social indicators based of literature review
Governance in the Social Dimension

Indicator	Metric	Quantitative Measurement	Qualitative measurement
Efficient decision-making process	Increase in efficiency of the decision-making process focused on social subjects.		· Existence of a group-wide strategy that guides corporate citizenship/philanthropic activities.
Transparency	Assurance of clear disclosure of social indicators		· Existence of governance procedures for social participation and access to the data.
	Clarity about the social targets for the organisation.	· Number of social targets and scores on a calendar base.	· disclosure and access to the metrics related to the social targets
	Availability of social indicators and results (include third party audit).	· Ratio between the Number of requests approved divided by the Number of information requests	· Free access to information for third parties' audit.
	Assurance of open communication channel to improve CSR		· Clear governance process to ensure the implementation of CSR practices
Level of Social Policy Implementation	Increase of awareness about the code of conduct of the organisation	· Number of employees hours participating in events (i.e., training sessions) related to the social policy adopted by the organisation.	· Induction to the code of conduct as part of the practice adopted by the organisation.
	Engagement in sustainability problems solution	· Number of governance procedures that emphasise the participation of the firm involuntary actions related to sustainability problems.	· Inclusion of the item in the firms' policies.
Stakeholders' Engagement	Engagement to stakeholders' support	· Number of actions developed in this subject with the participation of stakeholders.	· Existence of the practice of supporting stakeholders claims based on honest evaluation and feedback.

Appendix A
Compilation of social indicators based of literature review
Consumer Issues

Indicator	Metric	Quantitative Measurement	Qualitative measurement
Fair Marketing Practices	Engagement in fair advertising and responsible marketing (including children products).		· Clear orientation to protect the specific public in advertisement campaigns.
Protection to Consumers' Health and Safety	Engagement in safe products and service commercialisation	· Number of assessments within a specific time frame, focusing on different products and their potential risks to consumers.	
	Consumer's health and safety information transparency.		· Clear disclosure of important information related to consumers' health and safety, including disposal and environmental impacts.
Sustainable Consumption	Focus on Consumers' protection	· Percentage of significant products and services categories for which health and safety impacts have been assessed for improvement.	
Quality Promotion in Consumer's Service Support	Engagement in services' support quality (including complaint and dispute resolution.	· Number of incidents of non-compliance with regulations resulting in a fine or penalty;	· disclosure of organisation identification of non-compliance issues (including those based on regulations and/or internal policies)
		· Number of incidents of non-compliance with regulations resulting in fines;	
		· Number of incidents of non-compliance based on internal codes.	

Appendix A
Compilation of social indicators based of literature review
Consumer Issues

Indicator	Metric	Quantitative Measurement	Qualitative measurement
Consumer Data Protection and Privacy	Effectiveness in consumer data protection.	· Number of complaints received concerning consumer data breach	· Transparency in the disclosure of the organisation's issues related to data protection
		· Number of complaints from regulatory bodies.	
		· Number of identified leaks or thefts of customer data.	
Promotion of Education and Awareness	Engagement in activities to safeguard consumers.	· Number of campaigns organised by the firm with a focus on the practices to safeguard consumers.	
Report on consumers issues	Level of transparency in data accessibility	· Number of fines applied due to products problems on a calendar base.	· Easy access to information and availability of data for any part interested (exception made in cases not allowed due to confidentiality issues)
		· Monetary amount paid in fines by the firm on a calendar base.	

Appendix A
Compilation of social indicators based of literature review
Suppliers Management

Indicator	Metric	Quantitative Measurement	Qualitative measurement
Level of Alignment Between Supplier's and Organisation's Social Policies.	Alignment with the supplier's code of conduct.	· Number of hours of training of suppliers employees focused on the social policies adopted by the organisation.	· Existence of a supplier's code of conduct and it is publicly available (including environmental standards, child labour, human rights, working conditions, H&S, business ethics)
Social Process Assessments	Assurance of suppliers' social practices assessment.	· Number of assessments conducted with suppliers in the social area.	· Existence of a report providing the results of the assessment process and the action plan proposed
Level of Local Purchasing	Inclusion of local businesses and the promotion of supplier diversity;	· Percentage of local businesses directly involved in the company's operations.	· Comprehensive report with data related to local suppliers currently engaged with the organisation and opportunities presented in this area.
Level of Suppliers' Development of Social Management System	Availability of communication channel to deal with social problems.		· Existence of a communication channel with suppliers to deal with this subject.
	Support to implement social policies and programs.		· Existence of joint action with suppliers to develop CSR actions, involving all stakeholders.
	Increase of technology and knowledge transfer		· Existence of policy(ies) related to the transfer of knowledge between the company and suppliers.
Level of Fair Management Practices for Contract Management	On-time payments	· Percentage of payment done according to the agreed due date.	· Existence of procedures to conclude the payment process, including all necessary information involved in the process.

Appendix A
Compilation of social indicators based of literature review
Group Human Rights

Indicator	Metric	Quantitative Measurement	Qualitative measurement
Performance in Due Diligence Process	Due diligence process related to human rights issues linked to the firm's operation.	· Number of due diligence processes to identify potential human rights issues related to the firm's operations.	· Number and diversity of stakeholders providing feedback during the process.
Promotion of Staff Development concerning Human Rights	Employees' training related to human rights.	· Number of hours/employee dedicated to training about human rights.	· Police in place is describing the human rights perspective of the firm and the objective of employees' development.
Performance of the Communication Process	Management of human rights grievances.	· Number communications performed about the topic of human rights (publications, newsletters, date celebrations)	· Existence of a communication channel to report issues,
			· Process in place to record, and provide feedback (including disclosure of results).
			· Access to databases (if not confidential).
			· Disclosure of human rights problems recorded and proposed solution.
Improvement o Suppliers Management in the Topic Human Rights	Existence of contractual clauses that explicitly deal with human rights aspects.		· Contracts with suppliers have clear clauses stating that human rights policies to avoid the firm's liability in the subject.
	Suppliers' practices assessments.	· Number of assessments conducted to audit human rights issues with suppliers.	

CONFIDENTIAL

Telephone Interview Script

2018 Major Study

The Incorporation of Corporate Social Performance in Seaport Management

Document number _____

Date of interview _____ / _____ / 2018

Time interview started _____ am/pm

Time interview ended _____ am/pm

Total length of interview _____ minutes

Appendix B.1
Interview script – Interview

INTRODUCTION

Good morning/afternoon Mr/Ms _____

My name is Eduardo Batalha, and I am a PhD researcher from the Australian Maritime College (AMC) at the University of Tasmania (UTAS). I am calling in regards to my recent invitation requesting your participation in the research project **"The Incorporation of Corporate Social Performance in Seaport Management."**

Thank you for agreeing to this interview. You had previously indicated that now would be a good time to conduct the interview. Is this time still convenient?

(Start here for interview continuing from a confirmatory phone call)

Your understanding of the topic and your professional experience are precious for this study. However, your involvement in this interview is entirely voluntary.

At any stage, during the interview, you can decline to answer any of the questions or terminate the interview.

Your responses will be treated confidentially.

Before we start the interview, I would like to check that you have read the consent form that was sent in the email package earlier and that you consent to this interview. Do I have your consent to proceed with this interview?

If you agree, I would like to record this interview to maintain accuracy during data transcription. Do I have your consent to record this interview?

OK, we are set for the interview. Please feel free to interrupt me, seek clarification, or add anything to your responses at any stage.

Appendix B.1
Interview script – Interview

SECTION A: Icebreaking and personal information (Optional)

1. How long have you been working in areas related to social aspects inside seaports?

2. What is your overall professional experience? How long is it?

3. What is your academic background?

SECTION B: Understanding of the Corporate Social Performance (CSP)

This section focus on understanding how CSP is understood in seaports, therefore:

1. What does CSP mean to you? Please explain with your own words. (SRQ1)

SECTION C: The social roles of seaports

(In this section participants got a short explanation about the difference between social roles and social responsibilities before the referred question.)

The next set of questions investigates the social roles of seaports. The literature has explained different roles of seaports such as regional development motor, cargo and information exchange node and others. I would like to have your view on the role of seaports in the social area.

Therefore, I would like to ask:

1. What is the social role of seaports? (SRQ2)

Additional questions

2. What are the social responsibilities of seaports based on the role mentioned above?
3. Why should they play these roles?
4. What are the advantages and disadvantages when seaports undertake their social responsibilities and play their social roles?

SECTION D: The process of identifying stakeholders and social issues related to seaports

The next set of questions ask about stakeholders engagement and social issues related to seaports.

1. What are the social impacts caused by the seaports?

2. What are the most common processes used to identify social impacts from seaports? (SRQ3)

Additional questions

3. How would you prioritise stakeholders if there are many to attend?
4. How do you prioritise the social impacts to be solved?
5. Can you explain how to construct the relationship with these stakeholders?

SECTION E: Evaluation of CSP in seaports

The next questions ask about the indicators used to evaluate CSP in seaports.

1. Do you evaluate corporate social performance in your seaport?
2. If yes, what indicators are used to evaluate CSP?
3. If no, from your view, what indicators can be used to evaluate CSP?
4. Can you provide examples about how to measure these indicators?
5. Who should be involved in the CSP evaluation process?

CLOSING REMARKS

We have now come to the end of the formal questions of this interview. Do you have any questions or further comments on the topic that we have not covered or anything else you would like to add? Thank you very much for your time and input.

The transcript of this interview will be sent to you for review to see if your views have been correctly recorded. Feel free to make any change you think necessary. A summary of the study results will be provided if you have an interest in it. If you would like to receive a copy, please provide your email so I can send you a copy when it becomes available. Your email will be kept confidential**.**

Would you like to receive a summary of this study?

☐ **Yes** ☐ **No**

Email address_____

Appendix B.1
Interview script – Interview

AUSTRALIAN MARITIME COLLEGE
Department of Maritime and Logistics Management
Locked Bag 1397
Launceston 7250
Tasmania

Confidencial

Script da Entrevista Telefonica

2018

Corporate Social Performance in seaports: an exploratory study

Número do Documento_____

Data da entrevista _____ / _____ / 2018

Hora de início _____ am/pm

Hora do término _____ am/pm

Duração total da entrevista _____ minutos

Appendix B.1
Interview script – Interview

INTRODUÇÃO *(Comece daqui caso esta seja uma ligação para solicitar a participação na entrevista)* Bom (a) dia/tarde Sr/Sra _____ Meu nome é Eduardo Batalha e eu sou um pesquisador doutorando do Australian Maritime College. Eu estou ligando a respeito do meu recente convite solicitando sua participação no projeto de pesquisa com o título **"A Incorporação da Performance Social Corporativa no Gerenciamento de Portos"** Obrigado por concordar com a participação nesta entrevista. Anteriormente você indicou que este seria um bom horário para a condução da entrevista. Este continua sendo o horário mais conveniente?	Sim ☐ *Continua a entrevista* Não ☐ *Então considera nova data:* Novo Horário …… Nova Data ……..
(Comece daqui caso a entrevista seja uma continuação de uma ligação para confirmar a participação) Sua compreensão e entendimento sobre o tópico em questão, combinados à sua experiência professional são muito valiosos para este estudo. Todavia, eu gostaria de reforçar que seu envolvimento nessa pesquisa é totalmente voluntário. A qualquer momento durante a entrevista você pode se negar a responder qualquer uma das perguntas ou até mesmo terminar a entrevista sem nenhuma justificativa adicional. Suas respostas serão tratadas com estrita confidencialidade. Antes de começarmos a entrevista, eu gostaria de me certificar que você leu o formulário de consentimento que foi enviado por e-mail, junto com o pacote de documentos relativos à pesquisa. O objetivo é ter a confirmação que você concorda em participar desta entrevista. Eu tenho o seu de acordo para continuar com essa entrevista?	Sim ☐ *Continua a entrevista* *Não* ☐ *Finaliza a entrevista com "obrigado pelo seu tempo".*
(Protocolo para gravação da entrevista) Se você concordar, eu gostaria de gravar esta entrevista para manter a precisão dos dados a serem transcritos posteriormente. Eu tenho o seu de acordo para gravar esta entrevista? Ok, nós estamos prontos para prosseguir com a entrevista. Por favor sinta-se à vontade para me interromper, buscar esclarecimentos ou adicionar alguma informação às suas respostas a qualquer momento. *(Siga para a próxima página)*	*Sim* ☐ *Se sim, comece a gravar. Repita a pergunta durante a gravação para registrar o consentimento.* *Não* ☐ *Se não, não grave nenhuma fala e continue com a entrevista.*

Appendix B.1
Interview script – Interview

SEÇÃO A: Quebra gelo

1. Há quanto tempo você trabalha com áreas relacionadas a assuntos sociais dentro de portos?
2. Qual é a sua experiencia profissional?
3. Qual a sua formação acadêmica?

SEÇÃO B: Investigando a compreensão sobre a Performance Social Corporativa (PSC)

Esta seção tenta entender como o conceito de PSC é entendido na área portuária.

2. Nas suas palavras, o que é Performance Social Corporativa? (SRQ1)

SEÇÃO C: O papel social dos portos marítimos.

Nessa seção os participantes recebem uma breve explicação sobre a diferença entre papel social e responsabilidade social antes da próxima pergunta.

O próximo grupo de perguntas investiga o papel social dos portos. A literatura tem explicado diferentes papeis para os portos como motores de desenvolvimento regional, pontos de troca de carga e informações e outras.

1. Qual o papel social dos portos? (SRQ2)

Perguntas adicionais

2. Quais as responsabilidades sociais dos portos incluídos no papel social mencionado acima?
3. Por que os portos devem adotar um papel social?
4. Quais seriam as vantagens e desvantagens para os portos quando assumem suas responsabilidades sociais e desempenham os papéis sociais mencionados anteriormente?

SEÇÃO D: O processo de identificação dos stakeholders e dos temas sociais relacionados aos portos.

A próxima sessão explora o tema engajamento com stakeholders e problemas sociais relacionados aos portos.

1. Quais os impactos sociais de um porto?

2. Quais os processos mais comuns utilizados para identificar e gerenciar impactos sociais? (SRQ3)
3. Como estabelecer prioridade de stakeholders se existirem muitos a serem atendidos?
4. Como você prioriza os impactos sociais que precisam ser solucionados pelo porto?
5. Você pode explicar como o porto constrói uma relação com esses stakeholders?

SEÇÃO E: Indicadores utilizados para avaliar a PSC nos portos

As próximas perguntas tratam sobre a os principais indicadores que poderiam ser utilizadas para avaliar PSC em portos e terminais.

1. Você avalia a PSC no porto onde trabalha?
2. Se sim, quais os indicadores utilizados para medir a CSP? (SRQ4)
3. Se não, por quê? Quais os você sugeriria serem utilizados? (SRQ4)
4. Você poderia dar exemplos de como avaliar esses indicadores? (SRQ4)
5. Quem deveria estar envolvido no processo de avaliação destes indicadores?

Como contrapartes podem participar na medição? (SRQ4)

Comentários finais

Nós estamos caminhando para o fechamento desta entrevista.

Você teria alguma pergunta ou comentários adicionais sobre algum assunto que não tenhamos abordado na entrevista? Gostaria de adicionar alguma informação ou comentar algo mais? _____

Você receberá uma cópia das transcrições desta entrevista para obtermos sua aprovação final. Um resumo com os resultados do estudo será providenciados caso você solicite o recebimento. Se você desejar receber uma cópia dos resultados, por favor confirme o endereço de e-mail que pode ser utilizado para o envio de ambas as informações. Reforçamos que todas as informações cedidas nesta entrevista serão tradadas de forma confidencial pelo comitê de pesquisa.

Endereço de e-mail_____

Muito obrigado pelo seu tempo disponibilizado.

Appendix B.2
Invitation Letter – Interview

Telephone Interview Invitation Letter

Title of the research: 'The Incorporation of Corporate Social Performance in Seaport Management'

Dear <Title> <Last Name>

My name is Eduardo Batalha, a PhD researcher at the Department of Maritime and Logistics Management, Australian Maritime College (AMC), University of Tasmania (UTAS).

Your name was identified as one remarkable reference inside Brazil to participate in a PhD research conducted by the Australian Maritime College. Your expertise and professional qualifications differ you inside seaports enterprises, and therefore, your point of view about the topic under investigation becomes of high interest for this research.

Representing the research group involved, I would like to invite you to participate in a telephone interview planned to last **40 minutes**. The interview is the starting point of the process of exploring how Corporate Social Performance concepts and management practices are incorporated inside seaports. We have confidence that the quality of the content obtained from your answers will be of great value for the academic and professional community.

This study aims to explore how CSP management is incorporated inside seaports. To achieve this objective, our focus is on your individual professional career experiences.

At this stage, it is necessary to emphasise that all the data collected will be kept confidential according to procedures adopted by UTAS and AMC. Any names of participants and companies, if mentioned in the interview, will be replaced by codes to avoid the identification of the source of information. All this information and other important facts about the study are fully described in the **Participant's Information Sheet**. The UTAS ethics committee approved this research, and a copy of the Ethics Committee Approval is attached to this message for your information.

Appendix B.2
Invitation Letter – Interview

To conclude, I would like to reinforce the importance given to your participation in the research. I kindly request from you a confirmation about your availability to participate in this interview process. You can send your responses, positive or negative, to eduardo.batalha@utas.edu.au.

In case of positive response to the invitation, please provide the best date and time for the interview to happen and please sign the **Consent Form** attached to this message. As a matter of planning your best time to talk, please have in mind the student investigator will be at the Australian time zone Greenwich Mean Time (GMT) +10. This may provide more flexibility to perform interviews inside and outside business hours in Brazil as your preference.

If we do not get your written response in one week, you might receive a call from me to try to confirm your interest and availability to participate.

Thank you for your attention. If you have any additional question, do not hesitate to put it forward to the email mentioned above.

Kind regards,
Eduardo Batalha

Appendix B.3
Information Sheet - Interview

PARTICIPANT'S INFORMATION SHEET

Title of PhD thesis: The Incorporation of Corporate Social Performance in Seaport Management

1- Invitation

You are invited to participate in a research study investigating how CSP is incorporated within seaport management. This research is being conducted in partial fulfilment of a PhD program by Eduardo Batalha under the supervision of Dr Shu-Ling (Peggy) Chen, Dr Wei (Vera) Zhang and Dr Hilary Pateman at the National Centre for Ports and Shipping, Australian Maritime College, University of Tasmania.

2- What is the purpose of this study?

The purpose of this study is to explore the CSP concept and practices from the perspective of senior managers at seaports. Data collected will be used to understand how CSP is incorporated inside seaports. The focus is on the interpretation of academic concepts utilising the professional experience of participants, to complement or expand the current knowledge of CSP management.

3- Why have you been invited to participate in this study?

You have been selected to participate in this research because you possess the knowledge and professional experience in managing social aspects inside seaports. Your input with empirical information will be valuable to contribute to the exploration of CSP concepts and management for this research.

4- What will I be asked to do?

We kindly request approximately **40 minutes** of your time to participate in a phone interview, during which the student investigator will ask you questions related to CSP at seaports.

Appendix B.3
Information Sheet - Interview

At the beginning of the interview, you will be requested to provide consent to an audio recording of the interview. The interview transcripts will be sent to you for review and amendment to ensure there will be no misinterpretation of your answers.

5- Are there any possible benefits from participating in this study?

From this study, people in the industry and the academy will obtain a better understanding of CSP management. The results will enable us to decipher where theory and practice on CSP management can complement each other and improve corporate behaviour to manage future challenges proactively.

Organisations may benefit from this study, applying its conclusions and recommendations to their corporate routines.

6- Are there any possible risks from participating in this study?

There are no specific risks associated with participation in this study.

7- What if I change my mind during or after the study?

It is crucial that you understand that your involvement in this study is voluntary. While we would be pleased to have your participation, we respect your right to decline. You can withdraw your participation from this study at any time without providing any explanation. If you change your mind afterwards and do not want your data to be included, you may contact the research team by 31 December 2018 to remove your data from the study.

8- What will happen to the information when this study is over?

The data collected during the interview will be stored in the collaborative file storage solution inside Microsoft SharePoint Suite facility hosted by the University of Tasmania (UTAS). The student investigator will use the protected network from UTAS to storage and manage data collected. Only the student investigator has access to the content of the folder with data inside the system. After the data

collection process is over, the student investigator will download the data, keeping it in a password-protected file inside UTAS servers.

For more information about UTAS IT security policy, please visit http://www.utas.edu.au/__data/assets/pdf_file/0004/50539/ICT-Security-Policy-December-2017.pdf

All information will be treated confidentially, and your name will not be collected or used in any publication arising out of the research. In the final report, you will be referred to by a numeric pseudonym. The whole data-set will be destroyed five years after publication.

9- How will the results of this study be published?

This study primarily supplies information and data for the student investigator's doctoral thesis. The findings may later be presented or published at conferences and journals. Copies of such publications can be supplied upon request by you.

After completion, a summary of the results will be emailed to participants on request. You will be asked during the interview whether you would like the outline of results emailed to you.

10- What if I have questions about this study?

If you would like to discuss any aspects of this study, you are more than welcome to contact the student investigator or the chief investigators using the following contacts:

Appendix B.3
Information Sheet - Interview

Student Investigator:
Eduardo **Batalha**
PhD Candidate
Department of Maritime and Logistics Management
National Centre for Ports and Shipping
Australian Maritime College
University of Tasmania
M: 61-4.....
Email: Eduardo.batalha@utas.edu.au

Chief Investigator:
Dr Shu-Ling **Peggy** Chen
Head of Maritime and Logistics Management
National Centre for Ports and Shipping
Australian Maritime College
University of Tasmania
Ph: 61-3- 63249694
Email: P.Chen@amc.edu.au

Co-Chief Investigator:
Dr Wei **Vera** Zhang
Lecturer
National Centre for Ports and Shipping
Australian Maritime College
University of Tasmania
Ph: 61-3- 6324 9476
Email: vera.zhang@utas.edu.au

Co-Chief Investigator:
Dr Hilary Pateman
Adjunct Lecturer
National Centre for Ports and Shipping
Australian Maritime College
University of Tasmania
Email: h.pateman@utas.edu.au

This study has been approved by the Tasmanian Social Sciences Human Research Ethics Committee (HREC). A copy of this approval is available together with this information letter.

If you have concerns or complaints about the conduct of this study, please feel free to contact the Executive Officer of the HREC (Tasmania) Network on (+ 61 03 62266254) or email human.ethics@utas.edu.au. The Executive Officer is the person nominated to receive complaints from research participants. In your message, please quote ethics reference number [H0017643].

Thank you for taking the time to consider this study.

This information sheet is for you to keep.

If you agree to take part in this study, please read and complete the Consent Form sent together with this information letter.

Appendix B.4
Consent Form - Interview

Participant's Consent Form

Title of the research - The Incorporation of Corporate Social Performance in Seaport Management

1. I agree to take part in the research study named above.
2. I have read and understood the Information Sheet for this study.
3. The nature and possible effects of the study have been explained to me.
4. I understand that the study involves my participation in a telephone interview, of approximately 40 minutes' duration. The interview will be audio-recorded subject to my permission.

   Yes ☐ No ☐
5. I understand that participation involves no significant unforeseeable risk.
6. I understand that all research data will be securely stored using a password-protected system at the Australian Maritime College; University of Tasmania premises for five years from the publication of the study results, and after that, the whole dataset will be destroyed.
7. Any questions that I have asked have been answered to my satisfaction.
8. I understand that the researcher will maintain confidentiality and that any information I supply to the researcher will be used only for the research.
9. I understand that the results of the study will be published so that I cannot be identified as a participant.
10. I understand that my participation is voluntary and that I may withdraw at any time without any effect. If I so wish, I may request that any data I have supplied until 31 December 2018 be withdrawn from the research.
11. I understand that if I do not provide written consent, then I will be asked to provide verbal consent during the interview that will be recorded.

Participant's name:

Participant's signature:

Date:

Appendix B.4
Consent Form - Interview

Statement by Investigator

☐ I have explained the project, and the implications of participation to this potential participant, and I believe that the consent is informed and that he/she understands the implications of participation.

If the Investigator has not had an opportunity to talk to participants before their participation, the following box must be ticked.

☐ The participant has received the Information Sheet where my details have been provided so the participant has had the opportunity to contact me before consenting to participate in this research.

Student Investigator’s name: Eduardo Batalha

Student Investigator's signature:

Date:

Appendix B.5
Ethics Approval - Interview

Social Science Ethics Officer
Private Bag 01 Hobart
Tasmania 7001 Australia
Tel: (03) 6226 2763
Fax: (03) 6226 7148
Katherine.Shaw@utas.edu.au

HUMAN RESEARCH ETHICS COMMITTEE (TASMANIA) NETWORK

11 October 2018

Dr Peggy Chen
Maritime and Logistics Management
Private Bag 1397

Dear Dr Chen

Re: MINIMAL RISK ETHICS APPLICATION APPROVAL
Ethics Ref: H0017643 - Corporate Social Performance in Seaports: an exploratory study

We are pleased to advise that acting on a mandate from the Tasmania Social Sciences HREC, the Chair of the committee considered and approved the above project on 10 October 2018.

This approval constitutes ethical clearance by the Tasmania Social Sciences Human Research Ethics Committee. The decision and authority to commence the associated research may be dependent on factors beyond the remit of the ethics review process. For example, your research may need ethics clearance from other organisations or review by your research governance coordinator or Head of Department. It is your responsibility to find out if the approval of other bodies or authorities is required. It is recommended that the proposed research should not commence until you have satisfied these requirements.

Please note that this approval is for four years and is conditional upon receipt of an annual Progress Report. Ethics approval for this project will lapse if a Progress Report is not submitted.

The following conditions apply to this approval. Failure to abide by these conditions may result in suspension or discontinuation of approval.

1. It is the responsibility of the Chief Investigator to ensure that all investigators are aware of the terms of approval, to ensure the project is conducted as approved by the Ethics Committee, and to notify the Committee if any investigators are added to, or cease involvement with, the project.

2. Complaints: If any complaints are received or ethical issues arise during the course of the project, investigators should advise the Executive Officer of the Ethics Committee on 03 6226 7479 or human.ethics@utas.edu.au.

Appendix C.1
Questionnaire Items – Web survey

Survey Questionnaire

Introduction

Welcome to our survey,

Thank you for taking the time to participate. Before moving ahead, please note that all your answers are anonymous and by receiving them implies your consent to participate in this survey. This survey is designed to be answered in a short time and for easy use on mobile devices or desktop. Questions will be answered primarily by choosing one option and only in two of the questions will you be asked to select multiple choices. If you want to make any additional comments, you have the opportunity to do so at the end of each section. Feel free to use these spaces to express any thoughts or ideas about the topic being investigated. Finally, at the end of the survey and before you submit your answers, you will be offered the choice to participate in a raffle with a prize of $50 Australian dollars.

Thank you for your time!

Let's get started.

Eduardo Batalha

Section A – Participants' Information

This section collects demographic data about participants.

1 - Please indicate your position in the company:

( ) General Manager
( ) Division/Area Manager
( ) Coordinator/Supervisor
( ) CEO/CFO/COO
( ) Board Member
( ) Other

2 - Please indicate your work experience (in years) in the seaport industry:

( ) 5 years or less
( ) 5-10 years
( ) 10-15 years
( ) 15-20 years
( ) 20 years or more

3 - Select the region(s) of the location of the seaport(s) in Brazil where your company currently operates::

( ) North
( ) Northeast
( ) South
( ) Southeast

Appendix C.1
Questionnaire Items – Web survey

Survey Questionnaire

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4 - Please indicate the business operated in the seaport by your company:

( ) Multi-purpose
( ) General cargo
( ) Bulk cargo
( ) Container
( ) Project cargo
( ) Offshore support
( ) Ro/Ro
( ) Support activity in seaports complex (e.g. energy generation)
( ) Cruise
( ) Other

Section B – The way Corporate Social Performance (CSP) is understood by seaport managers.

For me the concept of Corporate Social Performance is related to...

	Strongly disagree	Disagree	Unsure	Agree	Strongly agree	I Do not know
• 1. The way we interact with the external environment around us.	( )	( )	( )	( )	( )	( )
• 2. The way we participate in region's social development.	( )	( )	( )	( )	( )	( )
• 3. The way we comply with the regulations that the company needs to follow.	( )	( )	( )	( )	( )	( )
• 4. The way we manage the indicators necessary to demonstrate how we perform in the social dimension.	( )	( )	( )	( )	( )	( )
• 5. The way we create and manage processes related to the social dimension.	( )	( )	( )	( )	( )	( )
• 6. The way we comply with the social responsibilities voluntarily adopted by the organisation.	( )	( )	( )	( )	( )	( )

---

2 - Please use this space to provide any additional comment about your comprehension of CSP

Appendix C.1
Questionnaire Items – Web survey

Survey Questionnaire

Section C – The social roles of seaports

1 - For me, the social role of the seaport is…

	Strongly disagree	Disagree	Unsure	Agree	Strongly agree	I Do not know
• 1. To promote the social development of the region where we operate.	( )	( )	( )	( )	( )	( )
• 2. To adapt its processes aiming to achieve objectives defined in the social dimension.	( )	( )	( )	( )	( )	( )
• 3. To improve the economic status of the region where we operate.	( )	( )	( )	( )	( )	( )
• 4. To lead the social development of the region(s) where we operate.	( )	( )	( )	( )	( )	( )
• 5. To maximise its operational capabilities, using this to promote social improvement.	( )	( )	( )	( )	( )	( )

---

2 - Please indicate the level of importance of the factors influencing your company to adopt a social role.

	No Importance	Little Importance	Moderate Importance	High Importance	Extreme Importance	I Do not know
• 1. Fulfilment of the social responsibilities voluntarily defined by the organisation.	( )	( )	( )	( )	( )	( )
• 2. Prevention of problems escalation.	( )	( )	( )	( )	( )	( )
• 3. To obtain the support from stakeholders.	( )	( )	( )	( )	( )	( )
• 4. Compliance with laws and regulations.	( )	( )	( )	( )	( )	( )
• 5. The development of business' strategies.	( )	( )	( )	( )	( )	( )
• 6. Retribution for the exploitation of natural resources.	( )	( )	( )	( )	( )	( )

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3 - Please use this space to provide any additional comment about your view in relation to the social role(s) of ports

Appendix C.1
Questionnaire Items – Web survey

Survey Questionnaire

Section D – The management of social impacts in seaports

1 – My company

	Strongly disagree	Disagree	Unsure	Agree	Strongly agree	I Do not know
• 1. is able to manage social impacts without the need of external knowledge (e.g. consultancy).	( )	( )	( )	( )	( )	( )
• 2. manages negative social impacts of operations before they affect stakeholders.	( )	( )	( )	( )	( )	( )
• 3. only manages social impacts if they represent a risk to the seaport's operation.	( )	( )	( )	( )	( )	( )
• 4. has all managers prepared to deal with social impacts (from identification to the solution implementation).	( )	( )	( )	( )	( )	( )

---

2 - Please indicate the level of importance the following factors have when prioritising the management of negative social impacts in your company

	No Importance	Little Importance	Moderate Importance	High Importance	Extreme Importance	I Do not know
• 1. Return of investment (e.g. there is benefit for the company mitigating the social impact).	( )	( )	( )	( )	( )	( )
• 2. Risk of operations' interruption.	( )	( )	( )	( )	( )	( )
• 3. Complexity of the social impact to solve.	( )	( )	( )	( )	( )	( )
• 4. Validity of the social impact presented (i.e. linked to the port operation).	( )	( )	( )	( )	( )	( )
• 5. The risk that the social impact present to human lives.	( )	( )	( )	( )	( )	( )
• 6. Risk to company's reputation/image.	( )	( )	( )	( )	( )	( )
• 7. Alignment of the social impact solution with the strategy of the company.	( )	( )	( )	( )	( )	( )
• 8. The urgency defined by the seaport to solve the negative social impact.	( )	( )	( )	( )	( )	( )
• 9. The need to comply with regulations.	( )	( )	( )	( )	( )	( )

Appendix C.1
Questionnaire Items – Web survey

Survey Questionnaire

Section D – The management of social impacts in seaports

3 - Please use this space to provide any additional comment about your view in relation to the management of social impacts by seaports

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Section E – Stakeholders' relationship management and corporate social performance

1 - My company has well-developed processes to communicate with...

	Strongly disagree	Disagree	Unsure	Agree	Strongly agree	I Do not know
• 1. internal stakeholders.	( )	( )	( )	( )	( )	( )
• 2. external stakeholders.	( )	( )	( )	( )	( )	( )

---

2 - My company...

	Strongly disagree	Disagree	Unsure	Agree	Strongly agree	I Do not know
• 1. considers the expectations that each stakeholder has about CSP when developing the relationship with them.	( )	( )	( )	( )	( )	( )
• 2. has all managers prepared to deal with all stakeholders interacting with our business.	( )	( )	( )	( )	( )	( )
• 3. only engages in relationships with stakeholders when it is necessary to do so.	( )	( )	( )	( )	( )	( )
• 4. in general only engage with stakeholders when regulation demands it.	( )	( )	( )	( )	( )	( )

---

3 - Please indicate the level of importance of each criteria for your company to engage with stakeholders.

	No Importance	Little Importance	Moderate Importance	High Importance	Extreme Importance	I Do not know
• 1. Stakeholders' power to interrupt operations.	( )	( )	( )	( )	( )	( )
• 2. Stakeholders' geographic proximity with the company.	( )	( )	( )	( )	( )	( )
• 3. Requirements to comply with regulations.	( )	( )	( )	( )	( )	( )
• 4. The need for stakeholders' support in difficult moments.	( )	( )	( )	( )	( )	( )

Appendix C.1
Questionnaire Items – Web survey

Survey Questionnaire

Section E – Stakeholders' relationship management and corporate social performance

4 - Please use this space to provide any additional comment about your view in relation to the management of stakeholders in the context of CSP management

Section F – The incorporation of CSP incorporation by seaports

1 - Please indicate the level of incorporation of the following COMMUNITY indicators based on your company's social performance management.

	Not Incorporated	Minimally Incorporated	Moderately Incorporated	Very Incorporated	Extremely Incorporated	I Do not know
• 1. Stakeholders' perception about the seaport.	( )	( )	( )	( )	( )	( )
• 2. The financial investments done in the social dimension.	( )	( )	( )	( )	( )	( )
• 3. The efficiency of the communication with the community.	( )	( )	( )	( )	( )	( )
• 4. The promotion of education initiatives.	( )	( )	( )	( )	( )	( )
• 5. The promotion of cultural initiatives.	( )	( )	( )	( )	( )	( )
• 6. The number of jobs created for community members.	( )	( )	( )	( )	( )	( )
• 7. Contribution to community health and safety improvement.	( )	( )	( )	( )	( )	( )
• 8. Management of sensitive groups. (e.g. indigenous groups).	( )	( )	( )	( )	( )	( )
• 9. Management of complaints from community related to the seaport (e.g. safety and security issues)	( )	( )	( )	( )	( )	( )

Appendix C.1
Questionnaire Items – Web survey

Survey Questionnaire

Section F – The incorporation of CSP incorporation by seaports

2 - Please indicate the level of incorporation of the following LABOUR PRACTICES indicators based on your company's social performance management.

	Not Incorporated	Minimally Incorporated	Moderately Incorporated	Very Incorporated	Extremely Incorporated	I Do not know
• 10. Management of due diligence processes involving human rights in seaports.	( )	( )	( )	( )	( )	( )
• 11. Development of staff's know-how about human rights in business.	( )	( )	( )	( )	( )	( )
• 12. Performance solving human rights grievances.	( )	( )	( )	( )	( )	( )
• 13. Management of suppliers concerning potential human rights issues.	( )	( )	( )	( )	( )	( )

---

3 - Please indicate the level of incorporation of the following HUMAN RIGHTS indicators based on your company's social performance management.

	Not Incorporated	Minimally Incorporated	Moderately Incorporated	Very Incorporated	Extremely Incorporated	I Do not know
• 14. Salary/wage equality between genders.	( )	( )	( )	( )	( )	( )
• 15. Overtime.	( )	( )	( )	( )	( )	( )
• 16. Quality of labour relations.	( )	( )	( )	( )	( )	( )
• 17. Management of corporate communication towards employees.	( )	( )	( )	( )	( )	( )
• 18. Performance of health and safety practices.	( )	( )	( )	( )	( )	( )
• 19. Development/training of the workforce.	( )	( )	( )	( )	( )	( )
• 20. Diversity promotion inside the seaport. (e.g. age, gender, ethnic).	( )	( )	( )	( )	( )	( )
• 21. Turnover.	( )	( )	( )	( )	( )	( )

Appendix C.1
Questionnaire Items – Web survey

Survey Questionnaire

Section F – The incorporation of CSP incorporation by seaports

4 - Please indicate the level of incorporation of the following ENVIRONMENTAL indicators based on your company's social performance management.

	Not Incorporated	Minimally Incorporated	Moderately Incorporated	Very Incorporated	Extremely Incorporated	I Do not know
• 22. Management of actions preventing pollution.	( )	( )	( )	( )	( )	( )
• 23. Initiatives developed to support sustainable use of resources.	( )	( )	( )	( )	( )	( )
• 24. Promotion of climate change initiatives.	( )	( )	( )	( )	( )	( )
• 25. Actions to promote protection for the natural environment.	( )	( )	( )	( )	( )	( )
• 26. Effectiveness of response procedures to environmental problems.	( )	( )	( )	( )	( )	( )

5 - Please indicate the level of incorporation of the following FAIR OPERATING PRACTICES indicators based on your company's social performance management.

	Not Incorporated	Minimally Incorporated	Moderately Incorporated	Very Incorporated	Extremely Incorporated	I Do not know
• 27. Management of anti-corruption practices.	( )	( )	( )	( )	( )	( )
• 28. Management of responsible political involvement.	( )	( )	( )	( )	( )	( )
• 29. Fair competition practices.	( )	( )	( )	( )	( )	( )
• 30. Management of property rights.	( )	( )	( )	( )	( )	( )
• 31. Adherence to the code of conduct.	( )	( )	( )	( )	( )	( )
• 32. Taxes paid by the company	( )	( )	( )	( )	( )	( )

Appendix C.1
Questionnaire Items – Web survey

Survey Questionnaire

Section F – The incorporation of CSP incorporation by seaports

6 - Please indicate the level of incorporation of the following SUPPLY CHAIN MANAGEMENT indicators based on your company's social performance management.

	Not Incorporated	Minimally Incorporated	Moderately Incorporated	Very Incorporated	Extremely Incorporated	I Do not know
• 33. Efficiency of the decision-making process.	( )	( )	( )	( )	( )	( )
• 34. Governance transparency.	( )	( )	( )	( )	( )	( )
• 35. Implementation of social policies.	( )	( )	( )	( )	( )	( )
• 36. Engagement with stakeholders as part of the governance processes.	( )	( )	( )	( )	( )	( )
• 37. Compliance with regulations.	( )	( )	( )	( )	( )	( )

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7 - Please indicate the level of incorporation of the following FAIR OPERATING PRACTICES indicators based on your company's social performance management.

	Not Incorporated	Minimally Incorporated	Moderately Incorporated	Very Incorporated	Extremely Incorporated	I Do not know
• 38. The alignment between suppliers and the seaport's social policies.	( )	( )	( )	( )	( )	( )
• 39. Processes to assess suppliers in the social area.	( )	( )	( )	( )	( )	( )
• 40. The level of local purchasing.	( )	( )	( )	( )	( )	( )
• 41. Support to develop local suppliers.	( )	( )	( )	( )	( )	( )
• 42. Contributions given to developing suppliers' management of social issues.	( )	( )	( )	( )	( )	( )
• 43. Transparency of the processes to contract services.	( )	( )	( )	( )	( )	( )
• 44. Contractual compliance (e.g. service payments on time).	( )	( )	( )	( )	( )	( )

Appendix C.1
Questionnaire Items – Web survey

Appendix D
Survey Questionnaire

Section F – The incorporation of CSP incorporation by seaports

8 - Thank you for your answers.

Use the blank space below to leave comments, suggestions or general feedback if you want to do so.

We have come to the end of the survey.

You must click on the button 'Submit' to record your answers and finalise the process.

After submitting, it will be offered to you the chance to participate in a raffle draw of two $50 prizes as a reward for your time participating in this survey.

Answers provided by participants of the raffle will remain anonymous.

Thank you for your time and contribution to this research.

Participation in the Raffle

Please provide an email address to participate in the raffle giving away two individual prizes in the value of $50 each.

The winners will be decided based on a random process.

The communication with the winners will be done in a private and confidential way.

Please note that this part of the survey has no connection with the answers provided by you. Therefore, it does not make identifiable your answers.

All the participants will receive and email informing when the decision about the winners was made.

If you want to participate, please click next to provide your email and participate in the raffle.

Appendix C.1
Questionnaire Items – Web survey

Survey Questionnaire (Portuguese)

Introdução

Bem vindo a nossa pesquisa,

Obrigado por investir tempo participando da pesquisa. Antes de continuarmos, fique ciente que todas as suas respostas são anônimas e a partir do momento que você submetê-las no final do processo, fica implícito o seu consentimento em participar do estudo. Esta pesquisa foi planejada para ser respondida em um curto espaço de tempo e para ser usada de forma simples em dispositivos móveis ou desktop. As perguntas serão respondidas na sua maioria apenas selecionando uma única resposta e em apenas duas perguntas será pedido a você o uso de múltiplas respostas. Se você quiser compartilhar qualquer comentário adicional, você terá a oportunidade de fazê-lo ao final de cada seção de perguntas. Sinta-se livre para utilizar os espaços específicos para expressar qualquer idéia ou pensamento sobre o tópico sob investigação. Para concluir, ao final da pesquisa e antes da submissão das suas respostas, será oferecido a você a oportunidade de participar de um sorteio com dois prêmios individuais no valor de $50 dólares Australianos.

Obrigado pelo seu tempo!

Vamos começar.

Eduardo Batalha

Seção A – Informação sobre o Participante

Esta seção coleta dados demográficos sobre os participantes

1 – Por favor indique sua posição dentro da empresa:

( ) Gerente Geral
( ) Gerente de Divisão/Área
( ) Coordenador/Supervisor
( ) CEO/CFO/COO
( ) Membro da diretoria
( ) Outros

2 – Por favor indique seu tempo de experiência (em anos) trabalhando na indústria portuária:

( ) 5 anos ou menos
( ) 5-10 anos
( ) 10-15 anos
( ) 15-20 anos
( ) 20 anos ou mais

3 – Selecione a(s) região(ões) da localização dos empreendimentos portuários operados pela sua empresa dentro do território Brasileiro:

( ) Norte
( ) Nordeste
( ) Sul
( ) Sudeste

Appendix C.1
Questionnaire Items – Web survey

Survey Questionnaire (Portuguese)

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4 – Por favor indique o tipo de operação gerenciada pela sua empresa na área do porto:

( ) Multi-propósito
( ) Carga geral
( ) Carga a Granel
( ) Container
( ) Carga de Projeto
( ) Suporte Offshore
( ) Ro/Ro
( ) Atividade de suporte dentro do porto (ex. Geração de energia)
( ) Cruzeiros
( ) Outros

Seção B – A maneira como a Performance Social Corporativa (PSC) é compreendida pelos gerentes na área portuária.

Pra mim, o conceito da PSC está relacionado a...

	Discordo Fortemente	Discordo	Indeciso	Concordo	Concordo Fortemente	Eu nao sei
• 1. Forma com que nós como empresa interagimos com o ambiente externo à nossa volta.	( )	( )	( )	( )	( )	( )
• 2. Forma como participamos no desenvolvimento social da região.	( )	( )	( )	( )	( )	( )
• 3. Forma como obedecemos leis e regulações que a empresa tem que seguir.	( )	( )	( )	( )	( )	( )
• 4. Forma como gerenciamos indicadores necessários para demonstrar como desempenhamos na dimensão social.	( )	( )	( )	( )	( )	( )
• 5. Forma como criamos e gerenciamos processos ligados à dimensão social.	( )	( )	( )	( )	( )	( )
• 6. Forma como adotamos as responsabilidades sociais voluntariamente definidas pela organização.	( )	( )	( )	( )	( )	( )

---

2 - Por favor utilize este espaço para adicionar comentários sobre a sua compreensão sobre PSC.

Appendix C.1
Questionnaire Items – Web survey

Survey Questionnaire (Portuguese)

Seção C – O papel social dos portos

1 – Pra mim, o papel social do porto é…

	Discordo Fortemente	Discordo	Indeciso	Concordo	Concordo Fortemente	Eu nao sei
• 1. Promover o desenvolvimento social da região onde operamos.	( )	( )	( )	( )	( )	( )
• 2. Adaptar os seus processos mirando atingir os objetivos definidos para a dimensão social.	( )	( )	( )	( )	( )	( )
• 3. Melhorar o status econômico da região onde operamos.	( )	( )	( )	( )	( )	( )
• 4. Liderar o desenvolvimento social da região onde operamos.	( )	( )	( )	( )	( )	( )
• 5. Maximizar as suas características operacionais, usando as mesmas para gerar melhorias sociais.	( )	( )	( )	( )	( )	( )

---

2 – Por favor indique o nível de importância que os fatores abaixo têm para influenciar a sua organização a adotar um papel social.

	Nenhuma Importância	Pequena Importância	Importância Moderada	Alta Importância	Extrema Importância	Eu não sei
• 1. Atendimento das responsabilidades sociais voluntariamente definidas pela organização.	( )	( )	( )	( )	( )	( )
• 2. Prevenção da escalada de problemas.	( )	( )	( )	( )	( )	( )
• 3. Obtenção do suporte dos stakehodlers.	( )	( )	( )	( )	( )	( )
• 4. Obediência às leis e regulamentos.	( )	( )	( )	( )	( )	( )
• 5. Desenvolvimento de estratégias de negócios.	( )	( )	( )	( )	( )	( )
• 6. Retribuição pela exploração de recursos naturais.	( )	( )	( )	( )	( )	( )

---

3 - Por favor utilize este espaço para adicionar qualquer comentário ou pensamento sobre seu ponto de vista relativo ao papel social dos portos.

Appendix C.1
Questionnaire Items – Web survey

Survey Questionnaire (Portuguese)

Seção D – O gerenciamento de impactos sociais pelos portos

1 – Minha empresa…

	Discordo Fortemente	Discordo	Indeciso	Concordo	Concordo Fortemente	Eu nao sei
• 1. é capaz de gerenciar impactos sociais sem a ajuda de conhecimento externo (ex: consultoria).	( )	( )	( )	( )	( )	( )
• 2. gerencia impactos sociais negativos das operações antes que eles afetem os stakeholders.	( )	( )	( )	( )	( )	( )
• 3. só gerencia impactos sociais se eles representam um risco à operação do porto.	( )	( )	( )	( )	( )	( )
• 4. tem todos os gerentes preparados para lidar com impactos sociais (da identificação até a solução dos mesmos).	( )	( )	( )	( )	( )	( )

---

2 – Por favor indique o nível de importância que os respectivos fatores têm para definir a prioridade de gerenciamento dos impactos sociais de acordo com a sua organização

	Nenhuma Importância	Pequena Importância	Importância Moderada	Alta Importância	Extrema Importância	Eu não sei
• 1. Retorno de investimento (ex: existe um benefício para a organização ao resolver o impacto social).	( )	( )	( )	( )	( )	( )
• 2. Risco de interrupção das operações.	( )	( )	( )	( )	( )	( )
• 3. Complexidade do impacto social a ser resolvido.	( )	( )	( )	( )	( )	( )
• 4. Validade do impacto social a ser resolvido (ex: está ligado a uma ação do porto).	( )	( )	( )	( )	( )	( )
• 5. O risco que o impato social representa a vidas humanas.	( )	( )	( )	( )	( )	( )
• 6. Risco à imagem/reputação da organização.	( )	( )	( )	( )	( )	( )
• 7. Alinhamento da solução do impacto social com a estratégia da empresa.	( )	( )	( )	( )	( )	( )
• 8. A urgência definida pela organização para solucionar um impacto social.	( )	( )	( )	( )	( )	( )
• 9. A necessidade de obedecer leis e regulamentos.	( )	( )	( )	( )	( )	( )

Appendix C.1
Questionnaire Items – Web survey

Survey Questionnaire (Portuguese)

Seção E – Gerenciamento de relacionamento com stakeholders e a PSC

4 - Por favor use este espaço para fornecer qualquer comentário adicional sobre a sua visão com relação ao gerenciamento de stakeholders no contexto da PSC.

Seção F – A incorporação da avaliação da PSC pelos portos

1 – Por favor indique o nível de incorporação com relação aos indicadores de COMUNIDADE no gerenciamento da PSC pela sua organização.

	Não Incorporado	Minimamente Incorporado	Moderadamente Incorporado	Muito Incorporado	Extremamente Incorporado	Eu não sei
• 1. Percepção do stakeholder sobre o porto.	( )	( )	( )	( )	( )	( )
• 2. Os investimentos financeiros feitos na dimensão social.	( )	( )	( )	( )	( )	( )
• 3. A eficiência da comunicação com a comunidade.	( )	( )	( )	( )	( )	( )
• 4. A promoção de iniciativas educacionais.	( )	( )	( )	( )	( )	( )
• 5. A promoção de iniciativas culturais.	( )	( )	( )	( )	( )	( )
• 6. O número de empregos criados para membros da comunidade.	( )	( )	( )	( )	( )	( )
• 7. Contribuição para a melhoria da saúde e segurança da comunidade.	( )	( )	( )	( )	( )	( )
• 8. Gerenciamento de grupos sensíveis (ex: indígenas).	( )	( )	( )	( )	( )	( )
• 9. Gerenciamento de reclamações recebidas da comunidade com relação ao porto (ex: segurança)	( )	( )	( )	( )	( )	( )

Appendix C.1
Questionnaire Items – Web survey

Survey Questionnaire (Portuguese)

Seção F – A incorporação da avaliação da PSC pelos portos

2 – Por favor indique o nível de incorporação com relação aos indicadores de DIREITOS HUMANOS no gerenciamento da PSC pela sua organização.

	Não Incorporado	Minimamente Incorporado	Moderadamente Incorporado	Muito Incorporado	Extremamente Incorporado	Eu não sei
• 10. Gerenciamento de processos de investigação de processos envolvendo direitos humanos nos portos.	( )	( )	( )	( )	( )	( )
• 11. Desenvolvimento do conhecimento dos empregados sobre direitos humanos aplicados aos negócios	( )	( )	( )	( )	( )	( )
• 12. Performance na resolução de reclamações relacionadas a direitos humanos.	( )	( )	( )	( )	( )	( )
• 13. Gerenciamento de fornecedores com relação a problemas de direitos humanos.	( )	( )	( )	( )	( )	( )

3 - Por favor indique o nível de incorporação com relação aos indicadores de PRÁTICAS TRABALHISTAS no gerenciamento da PSC pela sua organização.

	Não Incorporado	Minimamente Incorporado	Moderadamente Incorporado	Muito Incorporado	Extremamente Incorporado	Eu não sei
• 14. Igualdade de ganhos e salário entre gêneros.	( )	( )	( )	( )	( )	( )
• 15. Hora-extra.	( )	( )	( )	( )	( )	( )
• 16. Qualidade das relações trabalhistas.	( )	( )	( )	( )	( )	( )
• 17. Gerenciamento da comunicação corporativa com os empregados.	( )	( )	( )	( )	( )	( )
• 18. Performance das práticas de saúde e segurança ocupacional.	( )	( )	( )	( )	( )	( )
• 19.Desenvolvimento/ treinamento de empregados.	( )	( )	( )	( )	( )	( )
• 20. Promoção da diversidade dentro do porto (ex: idade, sexo, etnia).	( )	( )	( )	( )	( )	( )
• 21. Turnover.	( )	( )	( )	( )	( )	( )

Appendix C.1
Questionnaire Items – Web survey

Survey Questionnaire (Portuguese)

Section F – A incorporação da avaliação da PSC pelos portos

4 - Por favor indique o nível de incorporação com relação aos indicadores de MEIO AMBIENTE no gerenciamento da PSC pela sua organização.

	Não Incorporado	Minimamente Incorporado	Moderadamente Incorporado	Muito Incorporado	Extremamente Incorporado	Eu não sei
• 22. Gerenciamento de ações na prevenção de poluição.	( )	( )	( )	( )	( )	( )
• 23. Iniciativas desenvolvidas para suportar o uso sustentável de recursos.	( )	( )	( )	( )	( )	( )
• 24. Promoção de iniciativas voltadas à mudanças climáticas	( )	( )	( )	( )	( )	( )
• 25. Ações de proteção ao meio ambiente.	( )	( )	( )	( )	( )	( )
• 26. Efetividade dos procedimentos de resposta para problemas ambientais.	( )	( )	( )	( )	( )	( )

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5 - Por favor indique o nível de incorporação com relação aos indicadores de COMPLIANCE no gerenciamento da PSC pela sua organização.

	Não Incorporado	Minimamente Incorporado	Moderadamente Incorporado	Muito Incorporado	Extremamente Incorporado	Eu não sei
• 27. Gerenciamento de práticas anti-corrupção.	( )	( )	( )	( )	( )	( )
• 28. Gerenciamento de envolvimento político responsável.	( )	( )	( )	( )	( )	( )
• 29. Práticas justas de competição.	( )	( )	( )	( )	( )	( )
• 30. Gerenciamento de direitos autorais e propriedade intelectual.	( )	( )	( )	( )	( )	( )
• 31. Aderência ao Código de conduta.	( )	( )	( )	( )	( )	( )
• 32. Impostos pagos pela empresa	( )	( )	( )	( )	( )	( )

Appendix C.1
Questionnaire Items – Web survey

Survey Questionnaire (Portuguese)

Section F – A incorporação da avaliação da PSC pelos portos

6 - Por favor indique o nível de incorporação com relação aos indicadores de MELHORES PRÁTICAS OPERACIONAIS no gerenciamento da PSC pela sua organização.

	Não Incorporado	Minimamente Incorporado	Moderadamente Incorporado	Muito Incorporado	Extremamente Incorporado	Eu não sei
• 33. Eficiência do processo de tomada de decisões.	( )	( )	( )	( )	( )	( )
• 34. Transparência da governança corporativa.	( )	( )	( )	( )	( )	( )
• 35. Implementação de políticas sociais.	( )	( )	( )	( )	( )	( )
• 36. Comprometimento com stakeholders como parte do processo de governança.	( )	( )	( )	( )	( )	( )
• 37. Cumprimento de leis e regulamentos.	( )	( )	( )	( )	( )	( )

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7 - Por favor indique o nível de incorporação com relação aos indicadores de GERENCIAMENTO DA CADEIA DE SUPRIMENTOS no gerenciamento da PSC pela sua organização.

	Não Incorporado	Minimamente Incorporado	Moderadamente Incorporado	Muito Incorporado	Extremamente Incorporado	Eu não sei
• 38. O alinhamento entre fornecedores e as políticas sociais do porto.	( )	( )	( )	( )	( )	( )
• 39. Processos para avaliar fornecedores na área social.	( )	( )	( )	( )	( )	( )
• 40. Nível de compras locais.	( )	( )	( )	( )	( )	( )
• 41. Suporte no desenvolvimento de fornecedores locais.	( )	( )	( )	( )	( )	( )
• 42. Contribuições dadas para desenvolver fornecedores no gerenciamento de problemas sociais.	( )	( )	( )	( )	( )	( )
• 43. Transparência no processo de contratação de serviços.	( )	( )	( )	( )	( )	( )
• 44. Obediência contratual (ex: pagamentos em dia).	( )	( )	( )	( )	( )	( )

Appendix C.1
Questionnaire Items – Web survey

Survey Questionnaire (Portuguese)

Section F – A incorporação da avaliação da PSC pelos portos

8 – Obrigado pelas suas respostas.

Use o espaço em branco abaixo para comentários, sugestões ou qualquer feedback que você queira fornecer.

Chegamos ao final da pesquisa.

Você deve clicar no botão 'Submit' para gravar suas respostas e finalizar o processo.

Após a submissão, será oferecido a você a oportunidade de participar de um sorteio de dois prêmios no valor de $50 dólares Australianos como uma recompensa pelo seu tempo investido na pesquisa.

Respostas fornecidas pelos participantes do sorteio continuarão confidenciais.

Obrigado pela sua contribuição para esta pesquisa.

Participação no Sorteio

Por favor forneça um email para participar em um sorteio de dois prêmios individuais de $50 dólares Australianos cada.

Os vencedores serão decididos de forma aleatória.

A comunicação com os vencedores será feita de forma privada e confidencial.

Por favor note que esta parte da pesquisa não tem nenhuma conexão com as respostas fornecidas por você. Portanto, não é possível identificar suas respostas.

Todos os participants receberá um email informando sobre o fim do processo.

Se você quiser participar, por favor clique no botão "NEXT" para fornecer seu email e participar no sorteio.

Appendix C.2
Ethics Approval – Web-Survey

De: Social Sciences Ethics
Enviada em: Friday, 12 July 2019 8:08 AM
Para: Peggy Chen
Cc: Vera Zhang; Hilary Pateman; Eduardo Batalha De Magalhaes
Assunto: H0017643 The Incorporation of Corporate Social Performance in Seaport Management

Dear Dr Chen

Ethics Ref: H0017643

Title: Corporate Social Performance in Seaports: an exploratory study

This email is to confirm that the following amendment was approved by the Chair of the Tasmania Social Sciences Human Research Ethics Committee on 9/7/2019:

- An amendment file named 'Social-Sciences-Amendment_H0017643'
- An invitation letter file named 'Survey_Invitation_letter_H0017643'
- An information sheet file named 'Information-Sheet-survey_H0017643'
- A reminder letter file named 'Survey_reminder_H0017643'
- A copy of the survey in pdf named 'Ethics Submission raffle Corporate Social Performance in seaports'
- A copy of a raffle invitation named 'Ethics Submission Survey Corporate Social Performance in seaports'

All committees operating under the Human Research Ethics Committee (Tasmania) Network are registered and required to comply with the National Statement on Ethical Conduct in Human Research (NHMRC 2007, updated May 2015).

Please be reminded that all ethical approvals granted are subject to conditions as required by the National Statement. A copy of the conditions of approval is available at http://www.utas.edu.au/research-admin/research-integrity-and-ethics-unit-rieu/human-ethics/human-research-ethics-review-process/managing-your-ethics-approved-projects

This email constitutes official approval. If your circumstances require a formal letter of amendment approval, please let us know.

If you have any questions, please contact SS.Ethics@utas.edu.au or 03 6226 2975.

Kind regards

Jude

Jude Vienna-Hallam

Executive Officer, Social Science HREC

Research Integrity and Ethics Unit I Research Division

University of Tasmania

Building 1, 1st Floor, 301 Sandy Bay Road

Hobart TAS 7001

Telephone: 03 6226 2608

Appendix C.3
Invitation e-mail – Web-Survey

Email subject: Web-survey: **The Incorporation of Corporate Social Performance in Seaport Management**

Dear Sir/Madam

My name is Eduardo Batalha, a PhD candidate at the Australian Maritime College, University of Tasmania. I would like to invite you to participate in an online survey that is part of my PhD research **The Incorporation of Corporate Social Performance in Seaport Management.**

Your valuable knowledge, professional experience and insights can help this study obtain a better understanding of how performance in the social area is understood and managed in seaports.

You will be asked to answer, by marking one or multiple choices in questions, about aspects related to the management of social performance in seaports. Please be assured that all individual responses collected through the survey will only be used for research purposes and treated in a **strictly confidential** manner.

The survey will take **about 15 to 20 minutes** of your time to complete.

At the end of the survey, you will be asked about the option to participate in a raffle offering two prizes of $ 50 as a reward for your time. If you are interested in participating in the draw, you will be asked to provide your email through a separate link, which ensures that your answers to the survey questions will not be identified.

For additional information about the survey, you can access the Participants' Information Sheet by clicking here.

If you have any questions about this study, please do not hesitate to email me at eduardo.batalha@utas.edu.au.

Once you agree to participate in this survey, please click on the following link.

Access to the survey.

By receiving your completed questionnaire implies your consent on participating in this survey.

Thank you in advance for your time and contribution.

Yours sincerely,

Eduardo Batalha de Magalhaes

PhD Candidate

Australian Maritime College

National Centre for Ports and Shipping | Department of Maritime and Logistics Management

University of Tasmania (UTAS)

CRICOS 00586B

Appendix C.4
Participant's Information Sheet – Web-Survey

The Incorporation of Corporate Social Performance in Seaport Management

PARTICIPANT INFORMATION SHEET (Web-survey)

Research team

Chief-investigator: Dr Shu-Ling (Peggy) Chen, Head of Maritime and Logistics Management, National Centre for Ports and Shipping, Australian Maritime College, University of Tasmania.

Co-investigator: Dr Hilary Pateman, Department of Maritime and Logistics Management, National Centre for Ports and Shipping, Australian Maritime College, University of Tasmania.

Co-investigator: Dr Wei Vera Zhang, Department of Maritime and Logistics Management, National Centre for Ports and Shipping, Australian Maritime
College, University of Tasmania.

Student-investigator: Eduardo Batalha, PhD Candidate, Department of Maritime and Logistics Management, National Centre for Ports and Shipping, Australian Maritime College, University of Tasmania.

Phone: 63249537
E-mail: Eduardo.batalha@utas.edu.au

1 - Invitation

You are invited to participate in a web survey investigating how corporate social performance (CSP) is incorporated in port management. This research is being conducted in partial fulfilment of a PhD degree by Eduardo Batalha under the supervision of Dr Shu-Ling (Peggy) Chen, Dr Hilary Pateman and Dr Wei (Vera) Zhang at the National Centre for Ports and Shipping, Australian Maritime College, University of Tasmania.

2 - What is the purpose of this study?

The purpose of this study is to explore what seaports' managers understand about CSP and how they manage and evaluate it in their business practices.

3 - Why have I been invited to participate?

You have been invited to participate in this survey because you have valuable knowledge and professional experience in managing social aspects inside seaports. Your input will be valuable to contribute to the purpose of this research.

It is important to emphasise that your participation is voluntary.

4 - What will I be asked to do?

You will be asked to spend about 15 minutes to complete an online survey. The online questionnaire has been designed to provide maximum convenience to you. You only need to click in relevant boxes to provide the answers. Please note that receiving your answers implies your consent for participating in this survey.

5 - Are there any possible benefits from participation in this study?

A summary of the findings of this study will be made available to the public once the project is completed. The results include the interpretation of CSP by seaport managers in Brazil, how seaport stakeholders involve in managing CSP and establishing a set of indicators to evaluate CSP at seaports.

Besides, we offer you a chance to participate in a raffle, including two individual prizes of $50. Your participation is voluntary, and the decision about the winners is made based on a random draw.

6 - What happens if I decide to participate in the raffle?

Note that in case you decide to participate in the raffle, you will need to provide your e-mail through a separate web link for further communication about the outcome of the draw. If you decide to participate, please be ensured that your answers will not be identifiable.

It is important to be aware that participation in the raffle is voluntary. If you do not feel comfortable or do not want to participate in the raffle, you can submit your answers without providing your e-mail.

7 - Are there any possible risks from participation in this study?

There are no specific risks associated with participation in this study.

8 - What if I change my mind during or after the study?

Your participation in this study is entirely voluntary. You can withdraw your participation at any time during the online survey, without providing any explanation. Since the survey will be carried anonymously, it may not be possible to remove your data from the study after your submission.

9 - What will happen to the data when this study is over?

All data from your participation will be stored in a secure server of the University of Tasmania and password protected.

Based on the research requirement, all data will be kept for five years for publication purposes, and after that, it will be securely destroyed.

Only the student investigator and the chief and co-investigators will have access to the data you provide.

10 - How will the results of the study be published?

This study primarily supplies information and data for the student investigator's doctoral thesis. The findings may later be presented or published at conferences and journals. Copies of such publications can be supplied upon request by you.

What if I have questions about this study?

If you would like to discuss any aspects of this study, you are more than welcome to contact the student investigator or the chief investigators using the following contacts:

Student Investigator:
Eduardo Batalha
PhD Candidate
Department of Maritime and Logistics Management
National Centre for Ports and Shipping
Australian Maritime College
University of Tasmania
Ph: 61 – 3 - 63249537
E-mail: Eduardo.batalha@utas.edu.au

Chief Investigator:
Dr Shu-Ling (Peggy) Chen
Head of Maritime and Logistics Management
National Centre for Ports and Shipping
Australian Maritime College
University of Tasmania
Ph: 61-3- 63249694
E-mail: P.Chen@utas.edu.au

Co-Chief Investigator:
Dr Wei (Vera) Zhang
Lecturer
National Centre for Ports and Shipping
Australian Maritime College
University of Tasmania
Ph: 61-3- 6324 9476
E-mail: vera.zhang@utas.edu.au

Co-Chief Investigator:
Dr Hilary Pateman
Adjunct Lecturer
National Centre for Ports and Shipping
Australian Maritime College
University of Tasmania
E-mail: h.pateman@utas.edu.au

Appendix C.4
Participant's Information Sheet – Web-Survey

This study has been approved by the Tasmania Health and Medical/Social Sciences Human Research Ethics Committee. A copy of this approval is available together with this information letter.

If you have concerns or complaints about the conduct of this study, please feel free to contact the Executive Officer of the HREC (Tasmania) Network on (+ 61 3 62266254) or e-mail human.ethics@utas.edu.au / ss.ethics@utas.edu.au. The Executive Officer is the person nominated to receive complaints from research participants. In your message, please quote ethics reference number [H0017643].

How can I agree to be involved?

Please note that receiving your answers implies your consent for participating in this survey.

Thank you for your time.

Appendix D
No Response Bias Analysis

Questionnaire Item	Initial invitation (A)	First Reminder (B)	Second Reminder (C)	|A-B|	|A-C|	|B-C|
	Average Scores	Average Scores	Average Scores			
B.1	5	5	5	0	0	0
B.2	5	5	5	0	0	0
B.3	4	4	4	0	0	0
B.4	4	4	4	0	1	0
B.5	4	5	4	1	0	1
B.6	5	5	5	0	0	0
C.1.1	5	5	5	0	0	0
C.1.2	4	4	4	0	0	0
C.1.3	5	4	5	1	0	1
C.1.4	4	3	3	1	1	0
C.1.5	5	4	4	1	0	0
C.2.1	4	5	5	1	0	0
C.2.2	4	4	5	0	1	1
C.2.3	4	4	5	0	0	0
C.2.4	5	5	5	0	1	0
C.2.5	4	4	5	0	1	1
C.2.6	4	3	4	1	1	1
D.1.1	4	4	4	0	0	0
D.1.2	4	4	4	0	0	0
D.1.3	3	2	2	1	1	0
D.1.4	3	3	4	0	0	1
D.2.1	4	3	4	1	1	1
D.2.2	5	4	5	1	0	0
D.2.3	4	4	5	0	1	0
D.2.4	4	4	5	0	1	1
D.2.5	5	5	5	0	0	0
D.2.6	5	5	5	0	0	0
D.2.7	4	5	5	1	1	0
D.2.8	4	5	5	1	1	0
D.2.9	5	5	5	0	0	0
E.1.1	4	5	4	1	0	1
E.1.2	4	5	4	1	0	1
E.2.1	4	4	4	0	0	0
E.2.2	3	4	4	1	0	0
E.2.3	3	2	2	1	1	0
E.2.4	2	2	2	0	0	0
E.3.1	4	5	4	1	1	1
E.3.2	4	4	4	0	0	0
E.3.3	5	5	4	0	1	1
E.3.4	4	4	4	0	0	0

Appendix D
No Response Bias Analysis

Questionnaire Item	Initial invitation (A)	First Reminder (B)	Second Reminder (C)	|A-B|	|A-C|	|B-C|
	Average Scores	Average Scores	Average Scores			
F.1	3	3	3	0	0	0
F.2	4	4	4	0	0	0
F.3	3	4	4	1	0	0
F.4	3	4	4	1	1	0
F.5	3	4	4	1	1	0
F.6	4	4	4	0	0	0
F.7	3	4	4	1	1	0
F.8	3	4	3	1	0	1
F.9	4	4	4	0	1	0
F.10	3	4	4	1	1	0
F.11	3	4	4	1	1	0
F.12	3	4	4	1	0	0
F.13	3	4	4	1	1	0
F.14	4	4	4	0	0	0
F.15	4	5	4	1	0	1
F.16	4	4	4	0	1	0
F.17	4	5	4	1	0	1
F.18	4	5	5	1	0	0
F.19	4	5	5	1	1	0
F.20	3	4	4	1	1	0
F.21	3	4	4	1	1	0
F.22	5	5	5	0	0	0
F.23	4	5	5	1	0	0
F.24	3	4	4	1	1	0
F.25	5	5	5	0	0	0
F.26	4	5	5	1	0	0
F.27	4	5	5	1	1	0
F.28	3	4	4	1	1	0
F.29	4	5	5	1	1	0
F.30	4	5	5	1	1	0
F.31	4	5	5	1	1	0
F.32	5	5	5	0	0	0
F.33	4	5	5	0	0	0
F.34	4	5	5	1	1	0
F.35	4	5	5	1	1	0
F.36	3	4	4	1	1	0
F.37	5	5	5	0	0	0
F.38	3	4	4	1	1	0
F.39	3	4	4	1	1	0
F.40	3	4	4	1	1	0
F.41	3	4	4	1	1	0
F.42	2	3	3	1	1	0
F.43	4	4	5	0	1	1
F.44	5	5	5	0	0	0

Appendix E
Themes and codes from the interview data analysis

Question B.1: What does CSP mean to you?	
Themes	**Coding process**
Social development	Contribution to the region social development Return to society Social investment Social legacy Social projects Social responsibility - Mitigation of adverse impacts
Interaction with the external environment	Communities' positive evaluation of port social behaviour Interaction with the external environment Interaction with peers interaction with stakeholders Relationship with the external environment Response to external environment social demands Stakeholders expectations attendance
Social performance indicators	Indicators management process Indicators reflecting an interaction with Stakeholders
Social impacts management	Evaluation of social influence in corporate results Externalities management Social risks management
Compliance	Compliance - Legal requirements Compliance with social agreements established

Appendix E
Themes and codes from the interview data analysis

Question C.1: What is the social role of ports?	
Themes	**Codes**
Develop the regional social	To leverage the regional development To support the development of the region To leverage the regional development To connect with its region to generate value To act as the vector of regional development To develop the strong points of the region To contribute to the social development To take care of the region where the port is To create shared value
Adapt ports' processes to achieve social objectives	To have experts in the social area To operate in a sustainable way To match investments with the real demand in the To grow sustainably To act proactively managing external and internal To act with respect and proactivity To understands the impacts caused by its operations To respond to demands arising from its operations
Act as a leader in the social dimension	To act as a society leader To connect companies and actions in the social area To lead by example
Improve the economic status of the	To generate income and wealth To generate income for those involved in the port To create indirect jobs To generate wealth for the region where it is
Maximise the port economic capabilities to provide social betterment	To act as an efficient and safe supply chain link To act as an efficient hub in the region where it To generate benefits for stakeholders based on cargo flow efficiency

Question C.2: What are the social responsibilities of ports?

Appendix E
Themes and codes from the interview data analysis

Themes	Codes
Develop port management	- to adapt port operations to attend the region - to add value to products and generate more - to balance financial and social objectives - to be economically healthy - to be resilient to market change - to comply with regulations - to develop a dialogue channel - to develop technology used in operations - to disseminate the social objectives inside the - to ensure the law obedience within the port - to generate services to add value to the port - to have managers with social targets orientation - to include social aspects in the strategic plan - to maintain the port assets - to manage risks - to orchestrate activities in the social area - to pay taxes - to prevent illegal activities - to provide services that can pay taxes income - to support the flow of goods
Focus on local development	- to develop and Integrate local suppliers - to develop the local workforce - to generate jobs - to give work opportunity for the local workforce - to integrate with surrounding communities - to invest in safety around the port - to invest on local infrastructure - to maintain the social Environment around the - to minimise impacts in societies - to promote regional development - to support educational development - to support the local culture
Connect with the external	- to communicate port activities to stakeholders - to improve port image inside community - to interact with governmental entities - to involve stakeholders in port activities - to prepare communities to receive the port - to preserve the natural environment - to promote partnership with educational entities - to support the public entities decision process - to support the public entities solving social - to use the existing social support programs
Engagement with the employees	- to be accountable for employees as stakeholders - to integrate employees' families in the port - to promote engagement of employees - to promote safety of 3rd party employees - to promote safety of employees

Appendix E
Themes and codes from the interview data analysis

Question C.3: Why should ports play these roles?	
Themes	**Codes**
Social accountability	Because it is not acceptable to refuse social participation
	Because ports are part of people's lives
	Because ports have great strategic importance and influence power
	Because ports impact societies, change their behaviour and must minimise impacts
	Because the port is essential in the supply chain development
	Because this should be part of the natural behaviour of the company
Stakeholders' support	Because it is necessary to have society on your side in difficult moments
	Because the port needs the social license
Strategic development	Because it improves the port image and reputation
	Because it promotes a higher engagement from employees
	Because this is necessary for survival
	Because there is a trend for more demand for social performance
Prevention of problems escalation	Because external factors can become a problem
	Because society complaints can turn to more significant problems
	Because there is a risk that social problems escalate to something bigger
Compliance with laws and regulations	Because there are law enforcements in place
Return for the exploitation of resources	Because the company needs to return to society the profit from the exploration of natural resources
	Because the wealth must be shared

Appendix E
Themes and codes from the interview data analysis

Question C.4: What are the advantages and disadvantages when ports undertake their social responsibilities and play their social roles?	
Themes	**Codes**
Advantages	
Improvement of reputation	Better reputation and image
	Improves port reputation
	Improves transparency
	Increase investor confidence
	Increases community trustworthiness
Strategic advantage	Social license provision
	Attraction of workforce
	Awareness about risks to the business
	Facilitate the licensing process
	Less pressure from environmental authorities
	Preparedness for unexpected events
Engagement with stakeholders	Effective integration with society
	Improve the interaction with the society
	Improves communication process
Participation in society development	Contribute to the overall development
	Opportunity to present actions in the social area
	Promotion of sustainable development
overall performance improvement	Improve logistics performance
	Low risk of operational interruption
	Tax benefits
Self-satisfaction	Engage employees and improve performance
	Personal satisfaction
Disadvantages	
None	There are no disadvantages in adopting a social role.
Responsibility mismatch	Compulsory financial dependency
	Confusion between private and public responsibilities
	Expectations frustration
	Port is perceived as the vector of unwanted activities
Organisation exposure increase	Expectations frustration
	Exposure of the image company
	Exposure to corruption practices
	Exposure to political changes in the administration
	Pressure, envy from other companies to do not adopt social actions
Organisation scope increase	Additional costs
	Increase of workload scope

Appendix E
Themes and codes from the interview data analysis

Question D.1: What are the social impacts caused by the ports?	
Themes	**Codes**
Positive impacts	
Regional economy improvement	Attract other activities to the region generate taxes Generates wealth Increase the country's efficiency Jobs creation Promote economic development Promotes other business creation
Improvement in the educational status of the region educational improvement	Develops workforce Promotion of education
Infrastructure development	Connect a region with the world Improves infrastructure Improves the supply chain
Technological development	Promotes innovation Technological improvement
Establishment of a win-win relationship	Both society and the port benefit
Negative Impacts	
Environmental problems	Dust emissions Noise increase Visual impact Water pollution
Infrastructure overload	Deprivation of land use Migration increase Overload of public infrastructure Unplanned urban development
Social problems	Alcoholism Children exploitation (work and sexual) Cultural disruption Disruption in the social bonds Disturbance in the society around ports Drug use Prostitution
Economic problems	Employment frustration Financial dependency Fishing activity deprivation Tourism activity decrease Wealth gap
Traffic and congestion problems	Difficulty in commuting
Increase in criminal activities	Increase of criminality Sexual abuse cases Smuggling Violence increase
Accidents	Motorised vehicles involved in accidents related to the port

Appendix E
Themes and codes from the interview data analysis

Question D.2: What is the process commonly used to manage social impacts?	
Themes	**Codes**
Preventive process	Anticipate inevitable problems
	Environmental assessment during the operational phase
	Elaborate plans to minimise impacts
	Emergency plan elaboration
	Match port activities with affected social stakeholders
	Neighbourhood impact assessment
	Prioritise social development inside ports
	Produce social-economic map
	Risk Analysis
Compliance with legal requirements	EIA and EIR
	Establishing a national governmental plan in the social area
	Use certification procedures to identify social impacts
A joint effort process	Brainstorm with stakeholders
	Join forces with local government to prevent problems
	Join forces with universities to develop metrics and indicators
	Use local knowledge
	Work together to prepare a collective assistance plan
	work together to preserve the cultural characteristics
Relationship management	Confirmatory feedback
	Constant contact
	Establish a communication channel for complaints
	Informal consultation
Port's internal processes	Establish reliable controls
	Identify financial indicators for the social area
	Invest in infrastructure inside ports
	Maintenance of port structure
	Use innovation to solve problems
using external support	Audits
	Using specialists knowledge

Appendix E
Themes and codes from the interview data analysis

Question D.4: What processes are used to manage the relationship with stakeholders?	
Themes	**Codes**
Well communication	Clarity in communication Dialogue Communicate with stakeholder Effective listening Establish clear communication channels Establish communication frequency Public hearing
Building a trustful relationship	Act proactively Act transparently Align social strategies with stakeholders Bring stakeholders inside of the port Clarify ports activities to stakeholders Develop credibility Partnership sense
Knowing/understanding stakeholders	Define a stakeholder priority map Prioritising stakeholders Evaluate stakeholders satisfaction Identifying stakeholders Know first what the stakeholders expect Plan the mutual objectives of the relationship
The proactive strategy of stakeholder engagement	Develop meetings strategy Meetings Avoid pure favour exchange develop new technologies to attend stakeholders Develop social policies inside the port Participate in associations Participating in volunteer activities Promoting social actions inside the city Develop social improvements to communities
Preparing the organisation for the relationship with stakeholders	Comply with existing regulations Development of a monitoring or management system Discover what the port wants in the relationship Hire people responsible for the interaction with stakeholders Integrate different plans Use NGOs to support the relationship
Wait and see what happens	Wait and see what happens

Appendix E
Themes and codes from the interview data analysis

Question D.5: Thinking about stakeholders and social impacts together, how would you define priority for resources use in case you have multiple groups to attend and multiple issues to solve?	
Themes	**Codes**
The risk to operational continuity	Based on how the business can be affected if interrupted Legal impediments
The urgency of the claim	Based on alignment with public policies The validity of the claim Based on the perception of the Impact intensity
Risk to reputation	Legal problems damaging reputation Exposure of problems by the TV Image of the company
Alignment of the claim with a ports growth strategy	Social impacts with more alignment with the companies objectives are solved first
The physical proximity of stakeholders to the port	Communities around the port first Influence zone of the port
Return of investment	Economic criterion Prioritise what generates more financial benefit
Risk to lives	Risk to lives
Influence power of stakeholders	Political and economic influence power
Claims supported by social policies	Policies defined in the company's social principles
The validity of the claim	Does the port cause the social impact?
The complexity of the claim	From the less to the more complex

Appendix F
Descriptive Statistics (Sections B to F)

Variable	N	median	mean		Std. deviation	Skewness		Kurtosis	
			Statistics	**5% trimmed**		**Statistics**	**Std. Error**	**Statistics**	**Std. Error**
B.1	76	4.50	4.43	4.50	0.660	-1.323	0.276	2.934	0.545
B.2	76	5.00	4.50	4.54	0.600	-1.141	0.276	2.309	0.545
B.3	76	4.00	3.95	4.00	1.101	-0.677	0.276	-0.890	0.545
B.4	76	4.00	4.05	4.11	0.798	-0.742	0.276	0.469	0.545
B.5	76	4.00	4.09	4.17	0.882	-1.145	0.276	1.587	0.545
B.6	76	4.00	4.38	4.43	0.671	-0.900	0.276	0.851	0.545

Variable	N	median	mean		Std. deviation	Skewness		Kurtosis	
			Statistics	**5% trimmed**		**Statistics**	**Std. Error**	**Statistics**	**Std. Error**
C.1.1	76	5.00	4.58	4.63	0.595	-1.486	0.276	3.222	0.545
C.1.2	76	4.00	3.75	3.78	0.910	-0.573	0.276	-0.333	0.545
C.1.3	76	4.00	4.29	4.37	0.776	-1.436	0.276	3.616	0.545
C.1.4	76	4.00	3.49	3.53	1.128	-0.378	0.276	-0.738	0.545
C.1.5	76	4.00	4.20	4.28	0.833	-1.241	0.276	2.279	0.545
C.2.1	76	4.00	4.08	4.13	0.813	-0.913	0.276	1.627	0.545
C.2.2	76	4.00	4.03	4.10	0.832	-1.048	0.276	1.827	0.545
C.2.3	76	4.00	4.18	4.24	0.801	-0.800	0.276	0.328	0.545
C.2.4	76	5.00	4.56	4.67	0.753	-1.947	0.276	3.648	0.545
C.2.5	76	4.00	4.29	4.38	0.846	-1.413	0.276	2.547	0.545
C.2.6	76	4.00	3.71	3.79	1.090	-0.842	0.276	0.225	0.545

Variable	N	median	mean		Std. deviation	Skewness		Kurtosis	
			Statistics	**5% trimmed**		**Statistics**	**Std. Error**	**Statistics**	**Std. Error**
D.1.1	76	4.00	3.34	3.34	1.040	-0.223	0.276	-1.086	0.545
D.1.2	76	4.00	3.95	4.01	0.965	-0.896	0.276	0.416	0.545
D.1.3	76	4.00	3.42	3.44	1.036	-0.559	0.276	-0.738	0.545
D.1.4	76	4.00	3.54	3.59	1.101	-0.596	0.276	-0.516	0.545
D.2.1	76	4.00	3.63	3.66	1.008	-0.404	0.276	-0.575	0.545
D.2.2	76	5.00	4.62	4.69	0.588	-1.286	0.276	0.693	0.545
D.2.3	76	4.00	3.78	3.82	0.957	-0.557	0.276	-0.091	0.545
D.2.4	76	4.00	4.01	4.07	0.799	-0.790	0.276	0.603	0.545
D.2.5	76	5.00	4.80	4.91	0.566	-3.183	0.276	10.368	0.545
D.2.6	76	5.00	4.62	4.68	0.565	-1.168	0.276	0.423	0.545
D.2.7	76	5.00	4.39	4.48	0.834	-1.569	0.276	2.918	0.545
D.2.8	76	4.00	4.13	4.20	0.900	-0.943	0.276	0.805	0.545
D.2.9	76	5.00	4.61	4.67	0.613	-1.308	0.276	0.680	0.545

Variable	N	median	mean		Std. deviation	Skewness		Kurtosis	
			Statistics	**5% trimmed**		**Statistics**	**Std. Error**	**Statistics**	**Std. Error**
E.1.1	76	4.00	4.21	4.29	0.823	-0.993	0.276	0.734	0.545
E.1.2	76	4.00	4.01	4.07	0.887	-0.733	0.276	-0.020	0.545
E.2.1	76	2.00	2.41	2.38	0.969	0.448	0.276	-0.397	0.545
E.2.2	76	2.00	2.64	2.63	1.067	0.287	0.276	-0.927	0.545
E.2.3	76	2.00	2.59	2.57	0.982	0.559	0.276	-0.489	0.545
E.2.4	76	2.00	2.43	2.37	1.075	0.836	0.276	-0.004	0.545
E.3.1	76	4.00	4.16	4.25	0.953	-1.101	0.276	0.805	0.545
E.3.2	76	4.00	3.66	3.70	0.991	-0.546	0.276	-0.384	0.545
E.3.3	76	5.00	4.50	4.57	0.721	-1.315	0.276	1.083	0.545
E.3.4	76	4.00	4.07	4.12	0.854	-0.526	0.276	-0.516	0.545

Appendix F
Descriptive Statistics (Sections B to F)

Variable	N	median	mean		Std. deviation	Skewness		Kurtosis	
			Statistics	**5% trimmed**		**Statistics**	**Std. Error**	**Statistics**	**Std. Error**
F.1.1	76	3.00	3.01	3.01	1.205	-0.305	0.276	-0.886	0.545
F.1.2	76	3.00	3.32	3.36	1.105	-0.523	0.276	-0.168	0.545
F.1.3	76	3.00	3.12	3.14	1.070	-0.141	0.276	-0.391	0.545
F.1.4	76	3.00	3.27	3.30	1.197	-0.211	0.276	-0.691	0.545
F.1.5	76	3.00	3.08	3.09	1.115	-0.101	0.276	-0.572	0.545
F.1.6	76	4.00	3.45	3.50	1.182	-0.457	0.276	-0.694	0.545
F.1.7	76	3.00	3.10	3.11	1.103	-0.139	0.276	-0.469	0.545
F.1.8	76	2.00	2.46	2.40	1.314	0.510	0.276	-0.899	0.545
F.1.9	76	4.00	3.60	3.67	1.108	-0.844	0.276	0.120	0.545
F.1.10	76	3.00	3.08	3.08	1.408	-0.090	0.276	-1.238	0.545
F.1.11	76	3.00	2.81	2.79	1.252	0.090	0.276	-0.762	0.545
F.1.12	76	3.00	3.22	3.24	1.320	-0.244	0.276	-1.057	0.545
F.1.13	76	3.00	3.05	3.06	1.293	-0.160	0.276	-1.075	0.545
F.1.14	76	4.00	3.68	3.76	1.033	-0.736	0.276	0.516	0.545
F.1.15	76	4.00	4.03	4.08	0.813	-0.521	0.276	-0.250	0.545
F.1.16	76	4.00	4.06	4.12	0.858	-0.903	0.276	1.124	0.545
F.1.17	76	4.00	3.93	3.96	0.846	-0.226	0.276	-0.880	0.545
F.1.18	76	5.00	4.44	4.48	0.675	-0.828	0.276	-0.416	0.545
F.1.19	76	4.00	4.26	4.30	0.802	-0.675	0.276	-0.623	0.545
F.1.20	76	4.00	3.49	3.55	1.219	-0.614	0.276	-0.493	0.545
F.1.21	76	3.40	3.39	3.42	1.043	-0.341	0.276	-0.463	0.545
F.1.22	76	5.00	4.36	4.46	0.843	-1.604	0.276	3.096	0.545
F.1.23	76	4.00	3.97	4.05	0.995	-0.929	0.276	0.665	0.545
F.1.24	76	3.00	3.19	3.21	1.186	-0.171	0.276	-0.630	0.545
F.1.25	76	5.00	4.32	4.43	0.983	-1.483	0.276	1.507	0.545
F.1.26	76	5.00	4.33	4.42	0.936	-1.384	0.276	0.999	0.545
F.1.27	76	5.00	4.30	4.44	1.009	-1.770	0.276	3.037	0.545
F.1.28	76	4.00	3.78	3.87	1.241	-0.833	0.276	-0.200	0.545
F.1.29	76	4.00	4.04	4.16	1.070	-1.242	0.276	1.343	0.545
F.1.30	76	4.00	3.72	3.80	1.258	-0.718	0.276	-0.438	0.545
F.1.31	76	5.00	4.50	4.60	0.805	-1.978	0.276	4.600	0.545
F.1.32	76	5.00	4.65	4.78	0.793	-3.061	0.276	10.755	0.545
F.1.33	76	4.00	3.97	3.75	0.951	-0.985	0.276	1.116	0.545
F.1.34	76	4.00	4.04	4.13	1.008	-0.968	0.276	0.632	0.545
F.1.35	76	4.00	3.50	3.56	1.256	-0.621	0.276	-0.538	0.545
F.1.36	76	3.00	3.07	3.07	1.370	-0.122	0.276	-1.057	0.545
F.1.37	76	5.00	4.71	4.77	0.501	-1.603	0.276	1.874	0.545
F.1.38	76	4.00	3.31	3.34	1.321	-0.427	0.276	-1.003	0.545
F.1.39	76	3.00	3.04	3.04	1.305	-0.091	0.276	-1.090	0.545
F.1.40	76	3.00	3.38	3.42	1.200	-0.221	0.276	-0.797	0.545
F.1.41	76	3.00	3.14	3.15	1.197	-0.027	0.276	-0.806	0.545
F.1.42	76	3.00	2.60	2.56	1.259	0.342	0.276	-0.747	0.545
F.1.43	76	4.11	4.22	4.34	0.997	-1.622	0.276	2.706	0.545
F.1.44	76	5.00	4.42	4.54	0.912	-1.923	0.276	4.032	0.545

Appendix G
Communalities scores

Communalities (final run)			
ID	**Description**	**Initial**	**Extraction**
F.1.2	The financial investments done in the social area	1.000	0.656
F.1.4	The promotion of educational initiatives	1.000	0.743
F.1.5	The promotion of cultural initiatives	1.000	0.681
F.1.6	The number of jobs created for community members	1.000	0.814
F.1.7	Contribution to community health and safety improvement	1.000	0.854
F.1.10	Management of due diligence processes involving human rights in seaports	1.000	0.785
F.1.11	Development of staff's know-how about human rights in business	1.000	0.864
F.1.12	Performance solving human rights grievances	1.000	0.845
F.1.13	Management of suppliers in relation to potential human rights issues	1.000	0.769
F.1.14	Salary/wage equality between genders	1.000	0.655
F.1.22	Management of actions preventing pollution	1.000	0.868
F.1.23	Initiatives developed to support sustainable use of resources	1.000	0.720
F.1.25	Actions to promote protection of the natural environment	1.000	0.829
F.1.26	Effectiveness of response procedures to environmental problems	1.000	0.800
F.1.27	Management of anti-corruption practices	1.000	0.843
F.1.28	Management of responsible political involvement	1.000	0.627
F.1.29	Fair competition practices	1.000	0.801
F.1.31	Adherence to the code of conduct	1.000	0.840
F.1.32	Taxes paid by the compay	1.000	0.747
F.1.37	Compliance with regulations	1.000	0.580
F.1.38	The alignment between suppliers and the seaport's social policies	1.000	0.819
F.1.39	Processes to assess suppliers in the social area	1.000	0.833
F.1.40	The level of local purchasing	1.000	0.702
F.1.41	Support to develop local suppliers	1.000	0.746
F.1.42	Contributions given to develop suppliers' management of social issues	1.000	0.720
F.1.43	Transparency of the processes to contract services	1.000	0.796
F.1.44	Contractual compliance (e.g. service payments on time)	1.000	0.783
Extraction Method: Principal Component Analysis.			

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